

Overview

Background:

The checklist format for the Categorical Exclusion (CE)/Environmental Determination (ED) was developed by the Federal Highway Administration (FHWA) and the Arizona Department of Transportation (ADOT) to streamline the CE reporting process. All relevant background research and investigation (e.g., hazardous materials records check, census data, floodplain map) will still need to be completed and provided in the project files. The following guidelines are provided to assist with the completion of the CE checklist document.

NOTE: Local Public Agency letters/communications to agencies must be coordinated with the ADOT EPG Planner to determine appropriate letterhead.

The CE/ED checklist document has been set up as a Word form. The instructions on how to use this feature are provided below.

The CE checklist document is divided into five main components: 1) Cover Sheet, 2) Project Description, 3) Environmental Impact Summary, 4) Public Involvement, and 5) Analysis Sheets. Any attachments are included after the Analysis Sheets.

Detailed instructions to complete the checklist are provided in these guidelines. The numbered lines on the sample Checklist correspond with that section instructions bearing the same number.

If you have questions on how to proceed with the CE Checklist in a particular situation, contact the ADOT EPG Planner for guidance.

General Notes:

Use 12-point font, no smaller than 11 points, where possible.

The Cover Sheet does not take the place of the ADOT environmental clearance.

The appropriate clearance must be submitted with each submittal of the completed CE.

Enter all dates as MM/DD/YYYY.

For each of the items listed on the Environmental Impact Summary, determine if the item is present or not present, and check the applicable box. Guidance in determining the presence of a specific resource is provided in the applicable Analysis Sheet. For each item that is present, the corresponding Analysis Sheet shall be attached; for each item that is not present, the corresponding Analysis Sheet shall be deleted. Refer to each applicable Analysis Sheet guidance on whether to attach or not.

List all mitigation measures in bullet format separated by responsibility (e.g., “District Responsibilities” and/or “Contractor Responsibilities”). Mitigation measures should also be placed in the clearance^{*} and on the Mitigation Measure Sheet.

Instructions for using a Word form:

To view the Forms toolbar, check “Forms” in the Toolbars menu under View. To highlight/unhighlight places in the document where text is required, click the shaded “a” (“Toggle form field shading”) in the Forms toolbar. Double click any shaded field to enter text in that field. Text of any length may be entered despite the size of the shaded area.

To enter an “X” in a shaded check box, double click on the check box. When the “Check Box Form Fields Options” dialogue box appears, go to the “Default value” area and click on “Checked.” This will enter an “X” in the check box. To remove an “X”, click on “not checked” in this dialogue box.

After entering the information in the CE, toggle the shaded “a” button in the “Forms” toolbar. This will eliminate all field shadings from your document. If there are sections of the document that are not relevant to your project, eliminate them from the file before you submit the document.

* <http://azdot.gov/business/environmental-services-and-planning/environmental-guidance-documents/nepa-planning-guidance>

Checklist Completion Guidelines (CE)

Cover Sheet

This page will always be included in the submittal.

1. Title

Based on project funding, determine if the document is a CE or ED, and delete the title that does not apply.

2. Tracking Information

Confirm the Federal Project Number, ADOT Project Number, and Project Name with the ADOT EPG planner and insert the information. Verify county, route (US or SR number or street name), and limits (to tenth of a mile) and insert the information after the colon. Insert distance to and general direction of the nearest landmark (e.g., 25 miles north of Morenci) after the colon. Contact the ADOT Project Manager to confirm the estimated project cost and include the information after the colon.

For Federally-funded projects, refer to 23 CFR 771.117(c) and (d) to determine if the project is a Group 1 or Group 2 CE, and include that number in the top-right box, where prompted¹. Consult the [Arizona Programmatic Categorical Exclusion Approval](#)² to determine if the project is Programmatic or Nonprogrammatic and check the applicable box. For nonprogrammatic projects, delete the "Approved By" line on this page, and use the signature page and transmittal letter to FHWA (refer to examples provided at the back of these guidelines). For state-funded projects, check the "Environmental Determination" box. Type in the ADOT EPG Planner's full name, where prompted.

(State Transportation Improvement Program (STIP) Information)

It should be noted the latest date that a project appears in an FHWA approved STIP/TIP or Amendment to the STIP/TIP. The purpose for including the STIP/TIP data is to inform FHWA if the project has public sponsorship and is consistent with the direction of a state or region.

Check the STIP/TIP on the ADOT MPD Multimodal Planning Home Page³ to determine the most recent FHWA approved STIP/TIP or STIP/TIP Amendment in which the project is listed. In the current STIP/TIP, projects are listed under their respective Council of Governments (COG)/Metropolitan Planning Organizations (MPO) by sponsoring agency or under ADOT. Amendments are listed by COG/ MPO/ADOT. Check if a project is on an Amendment before checking the current STIP/TIP.

¹ <http://azdot.gov/docs/planning/guidance-for-categorical-exclusion-groups-one-and-two-projects.pdf?sfvrsn=0>

² <http://azdot.gov/docs/planning/arizona-programmatic-categorical-exclusion-approval-guidance.pdf?sfvrsn=0>

³ http://mpd.azdot.gov/mpd/priority_Programming/STIP.asp

Arizona Department of Transportation
Environmental Planning Group
Categorical Exclusion or Environmental Determination

| | |
|---|--|
| [Federal Project Number] [ADOT Project Number] [Project Name] Count(ies): Route: Limits: MP to MP Nearest landmark: Estimated project cost: \$ | Federal projects: Local Government/Enhancement Project: <input type="checkbox"/> Categorical Exclusion Group: Programmatic: <input type="checkbox"/> Nonprogrammatic: <input type="checkbox"/> STIP/TIP ID Number: Date: State-funded projects: Environmental Determination <input type="checkbox"/> ADOT NEPA Planner: |
|---|--|

Clearance
 Prepared By: _____ Date: _____
 (Local Gov. - Submitted By)
 (XX:xx)
 Reviewed By: _____ Date: _____
 Environmental Planner
 Approved By: _____ Date: _____
 Manager
 (XX:xx)

Attachments
☐ Section 106 Consultation Letters
☐ Coordination letter(s)
☐ Arizona Game and Fish Department (AGFD) correspondence and Online Review Tool Receipt (page 1 of __)
☐ US Fish and Wildlife (USFWS) letter(s) of concurrence
☐ Clean Water Act Section 404 Nationwide Permit Number ☒ enclosure
☐ Clean Water Act Section 404 Nationwide Permit Number ☒ Impact Sheets (Figure ☒)
☐ Nationwide Permit Verification Letter
☐ Individual Section 401 Certification Conditions (if applicable)
☐ Clean Water Act Section 404 Individual Permit
☐ Special Conditions
☐ Section 401 Water Quality Certification Conditions
☐ Checklist for Environmental Compliance
☐ Desert Tortoise Handling Guidelines (if applicable)
☐ Other

<http://azdot.gov/business/environmental-services-and-planning>
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Checklist Completion Guidelines (CE)

If the project is only listed in the current STIP/TIP, then after “STIP/TIP:” indicate the STIP/TIP ID number, if available, and the abbreviations of the COG/MPO/ADOT, followed by the fiscal years of the current STIP/TIP (i.e. FY 2011-2014). After “Date:” indicate the date the current STIP/TIP was approved by FHWA in mm/dd/yyyy format. If a project is in an Amendment, then in “STIP/TIP:” add the amendment number after the STIP/TIP FY; no need to note if it is COG/MPO/ADOT. After “Date:” insert the date that the amendment was approved by FHWA in mm/dd/yyyy format.

Examples:

For project with no STIP/TIP Item number:

STIP/TIP: CAAG, FY 2011-2014 Date: 03/24/2011

For project with STIP/TIP Item number:

STIP/TIP: #15310, ADOT, FY 2011-2014 Date: 03/24/2012

For project in STIP/TIP Amendment:

STIP/TIP: #AAP13-001, FY 2011-2014, Amendment No, 61 Date: 05/31/2012

3. Clearance

Under the “Prepared By”(For Local Public Agencies use “Submitted By”) signature line, type the name of the document author (the person who will sign in the “Prepared By” field); on the next line type in the name of the firm or agency of the author preparing the document. The author will sign and date (MM/DD/YYYY) the “Prepared By” signature line, in blue ink, for each submittal.

Following the firm or agency name, include the on-call Project Manager’s initials (in upper case letters) to the left of the colon, and the author’s initials (in lower case letters) to the right of the colon (e.g., DW:gb).

Under the “Reviewed By” signature line, type in the name of the ADOT EPG Planner; on the next line type the title of the ADOT EPG Planner (Planner II, III, IV).

The “Approved By” signature line should be blank when submitted to ADOT. Under the “Approved By” signature line type the name of the EPG Manager. Following the line with the word “Manager” include the ADOT EPG Manager’s initials (in upper case letters) to the left of the colon, and the EPG final reviewer’s initials (in lower case letters) to the right of the colon (e.g., PO:mm).

Checklist Completion Guidelines (CE)

Cover Sheet (continued)

4. Attachments

Check each box for which there is an applicable attachment, and delete those items not relevant to the project. Attachments should be included at the end of the document with the exception of the state and vicinity maps and detour maps, if applicable, which should be included in the document immediately after the project description pages. When checking the "Other" box, include text to the right of the box describing what has been attached. If there is more than one attachment, use a list format.

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Checklist Completion Guidelines (CE)

Acronyms and Abbreviations

This page will always be included in the submittal and modified based on project specifics.

1. Header

Add the project information to the header of the document starting on this page. Confirm project information with ADOT EPG planner. Align the last letter of the longest word in the project information with the right margin of document. Adjust the left tabs so that the first letters of the Federal Project No., ADOT Project No., and the Project Name align. Ensure that headers retain the desired formatting adjustments after any section breaks.

2. Acronyms and Abbreviations

This list provides acronyms and abbreviations found in a typical CE/ED. List acronyms and abbreviations in alphabetical order. Once listed here, acronyms and abbreviations should not be spelled out in the document.

ACRONYMS AND ABBREVIATIONS

| | |
|--|---|
| <p>AASHTO – American Association of State Highway and Transportation Officials ADA – Americans with Disabilities Act ADT – Average Daily Traffic ADEQ – Arizona Department of Environmental Quality ADOT – Arizona Department of Transportation AGFD – Arizona Game and Fish Department APE – Area of Potential Effect ARHP – Arizona Register of Historic Places ARS – Arizona Revised Statute ASLD – Arizona State Land Department ASM – Arizona State Museum AZ – Arizona AZPDES – Arizona Pollutant Discharge Elimination System BDS – Biological Data Sheet BE – Biological Evaluation BG – Block Group BLM – Bureau of Land Management BR – Biological Review CBC – concrete box culvert CE – Categorical Exclusion CFR – Code of Federal Regulations CMAQ – Congestion Mitigation and Air Quality CMP – corrugated metal pipe CO – carbon monoxide Corps – US Army Corps of Engineers CT – Census Tract dB – Decibel EB – eastbound ED – Environmental Determination EJ – Environmental Justice EPA – Environmental Protection Agency EPG – Environmental Planning Group FEMA – Federal Emergency Management Agency FHWA – Federal Highway Administration FIRM – Flood Insurance Rate Map FY – Fiscal Year LBP – Lead-based paint LPA – Local Public Agency LUST – Leaking Underground Storage Tank HMTA – Hazardous Materials Site Assessment MOU – Memorandum of Understanding MP – milepost MS4 – Designated Municipal Separate Storm Sewer System MSAT – Mobile Source Air Toxics MUTCD – Manual of Uniform Traffic Control Devices N/A – Not Applicable NAP – Noise Abatement Policy NAAQS – National Ambient Air Quality Standard NB – northbound NEPA – National Environmental Policy Act</p> | <p>NESHAP – National Emissions Standards for Hazardous Air Pollutants No. – number NOx – nitrogen oxides NPDES – National Pollutant Discharge Elimination System NRCS – Natural Resources Conservation Service NRHP – National Register of Historic Places NRMS – Natural Resources Management Section NWP – Nationwide Permit PCN – Preconstruction Notification PISA – Preliminary Initial Site Assessment PM₁₀ – particulate matter less than or equal to 2.5 microns PM_{2.5} – particulate matter less than or equal to 10 microns RCRA – Resource Conservation and Recovery Act REC – Recognized Environmental Condition Reclamation – Bureau of Reclamation ROW – right-of-way SB – southbound SHPO – State Historic Preservation Office SR – State Route STIP – State Transportation Improvement Plan SWPPP – Stormwater pollution prevention plan TCE – Temporary construction easement TCM – Transportation Control Measures THPO – Tribal Historic Preservation Office TI – Traffic Interchange UPBE – Urban Project Biological Evaluation UST – Underground Storage Tank US – United States USC – United States Code USDA – US Department of Agriculture USFWS – US Fish and Wildlife Service USCG – United States Coast Guard VMT – Vehicle Miles Traveled Waters – Waters of the United States WB – westbound Western – Western Area Power Administration</p> |
|--|---|

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

| | | | |
|---|--|------------------------|---|
| 1 | | 1 <u>Need</u> | <div style="text-align: center; font-weight: bold;">Project Description</div> |
| 2 | | 2 <u>Purpose</u> | |
| 3 | | 3 <u>Scope of Work</u> | |

(continue to item #4 on page 5)

<http://azdot.gov/business/environmental-services-and-planning>

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1. Need

2. Purpose

3. Scope of Work

Include a complete description of the project components in bullet format. Include project limits. Identify detours in this section, if applicable. Use common language and/or define technical terms for the general public. Identify stockpiling areas and staging areas, if known. Verify that they are cleared.

Checklist Completion Guidelines (CE)

State Map

1. State Map

Insert a map of Arizona, designating the location of the project and at a minimum all major cities, counties, and highways. The map must include a north arrow and be discernibly reproducible on a black and white copier. Include map scale.

| | | | |
|---|-----------------------|---|-------------|
| | | [Federal Project No.] [ADOT Project No.] [Project Name] | |
| 1 | INSERT STATE MAP HERE | | |
| | | | |
| http://azdot.gov/business/environmental-services-and-planning | | 4 | August 2013 |

Checklist Completion Guidelines (CE)

Project Vicinity Map

1. Project Vicinity Map

Insert a map showing the location of the project. The project limits must be clearly marked. Include all streets and features specifically called out in the document. The map must include a north arrow and be discernibly reproducible on a black and white copier. Insert additional maps (e.g., Detour Location Map) immediately following the project vicinity map, if needed. For Local Public Agencies, show ROW acquisitions and TCE's (if known).

[Federal Project No.]
[ADOT Project No.]
[Project Name]

INSERT PROJECT VICINITY MAP HERE

1

<http://www.azdot.gov/highways/EPG>5July 2013

Checklist Completion Guidelines (CE)

Project Description (continued from page 6)

Describe existing conditions within the project limits. Check present or not present for each line. In completing the table on *Existing Conditions* (page 6), insert an “x” in the second column if the item is present and in the third column if the item is not present. Discuss the location in the fourth column. The level of detail for the location information can range from “intermittent” or “throughout project area” to identification of specific mileposts or street names, dependent on the involvement of the particular item in the project scope of work. If a culvert will be extended, indicate the milepost of the culvert location.

Additional comments that may clarify information should be placed in the “Description” column, as applicable. Text in the table should be in bullet format—complete sentences are not required.

4. General Items

For each item listed in the “Item” column, insert an “x” in the second column if present—or in the third column if not present; discuss the location, and include a description (when applicable). The description could include information such as lane width, number and length of turn lanes, type of landscaping present (e.g., native plants; ornamental plants), type of culverts (e.g., CBC), etc.

5. Center Medians

If center medians are present within the project limits, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Center Median” heading, indicate if features are present, include location information, and add descriptions—such as width, length, and materials (e.g., concrete; brick pavers).

6. Traffic Controls

If traffic controls are present within the project limits, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Traffic Control” heading, indicate if features are present, include location information, and add descriptions—such as “four-way stop intersection.”

7. Bikeways/Multi-use Pathways

If bikeways/multi-use pathways are present within the project limits, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Bikeways/Multi-use Pathways” heading, indicate if features are present, include location information, and add descriptions—such as width and material (e.g., concrete; asphalt; dirt).

[Federal Project No.]
[ADOT Project No.]
[Project Name]

4 Existing Conditions

| | Item | Present | Not Present | Location | Description |
|----|--|---------|-------------|----------|---|
| 4 | Through lanes | | | | Number: width: |
| | Right-turn lane(s) | | | | |
| | Left-turn lane(s) | | | | |
| | Shoulders | | | | Paved <input type="checkbox"/> width: |
| | Landscaping | | | | |
| | Guardrail | | | | |
| | Culvert(s) | | | | Number: size: |
| | Nose wall(s) | | | | |
| | Crosswalk(s) | | | | |
| | Cattle guard(s) | | | | |
| 5 | Frontage road(s) | | | | |
| | Curb and gutter | | | | |
| | Lighting | | | | |
| | Center medians | | | | |
| | Raised | | | | |
| 6 | Paved | | | | |
| | Painted | | | | |
| | Landscaped | | | | |
| | Other | | | | |
| | Traffic controls | | | | |
| 7 | Signal(s) | | | | |
| | Stop signs | | | | |
| | Flashing light(s) | | | | |
| | Bikeways/Multi-use Pathways | | | | |
| | Independent pathway for bikes | | | | |
| 8 | Bike lanes striped on roadway pavement | | | | |
| | Bike lanes on canal bank | | | | |
| | Other pathway | | | | |
| | Sidewalks | | | | |
| | Adjacent to street/highway | | | | Width: |
| 9 | Set back from street/highway feet | | | | Width: Setback: |
| | Other sidewalk | | | | Width: |
| | Fencing | | | | <input type="checkbox"/> ROW <input type="checkbox"/> Other |
| | Game fence | | | | |
| | Standard barbed wire fence | | | | |
| 10 | Chain link fence | | | | |
| | Other fencing | | | | |
| | Bridges | | | | |
| | Over watercourse | | | | Structure No.: Name of watercourse: |
| | Over highway/street/road | | | | Number of spans: Name of street/road: Highway route number: |
| | Over railroad | | | | Number of spans: Name of railroad: |

Checklist Completion Guidelines (CE)

Project Description (continued)

8. Sidewalks

If sidewalks are present within the project limits, indicate such by placing an “x” in the second column in the shaded row. In the subsequent rows under the “Sidewalks” heading, indicate if the sidewalks are adjacent to or set back from the street/highway. Include location information, and add descriptions—such as width, amount of setback (in feet), and/or Americans with Disabilities Act-compliance (if known).

9. Fencing

If fencing is present within the project limits, place an “x” in the second column in the shaded row; in the Description column, indicate if the fencing is for right-of-way or if it is another type of fencing. In the subsequent rows under the “Fencing” heading, indicate which type of fencing is present. Include location information, and add descriptions—such as width, height, and condition.

10. Bridges

If bridges are present within the project limits, place an “x” in the second column in the shaded row. In subsequent rows under the “Bridges” heading, indicate which type(s) of bridges are present. Include location information (in milepost[s]), and descriptions.

Checklist Completion Guidelines (CE)

Project Description (continued)

11. Other

If other notable items are present, place an “x” in the second column in the shaded row. List the items present in the “items” column. Include location information and add descriptions. Include masonry walls here.

12. Land Ownership and Land Use- Existing ROW or Easement⁴

Identify the land ownership/management, and land use within the existing right-of-way and/or easement. Use a separate line for each landowner/manager. Indicate the beginning and ending milepost limits (e.g., MP 1.3 to MP 2.5) under “location.” Indicate whether the existing roadway is on ADOT ROW or on an easement under “ROW or Easement.” Identify the landowner/manager (e.g., ADOT, BLM) under “Owner/Manager.” Provide a description of the land use (e.g., transportation) within the existing ROW or easement under “Land Use.”

You may need to add additional rows if there are several land owners in the project area. To add rows in Word, place the cursor at the bottom row. Go to *Table* in the menu bar, select *Insert* and then *Rows Below*. Doing that will add an additional row at the bottom of the table. Repeat as necessary.

13. Land Ownership and Land Use- Adjacent Land

Identify adjacent land ownership/management and use. See guidance under *Item 4-5.a. Existing ROW or Easement*. If land ownership/management is complex, such as a checkerboard pattern, contact the ADOT EPG Planner for direction.

You may need to add additional rows if there are several land owners adjacent to the project area. To add rows in Word, place the cursor at the bottom row. Go to *Table* in the menu bar, select *Insert* and then *Rows Below*. Doing that will add an additional row at the bottom of the table. Repeat as necessary.

14. Right-of-Way/Easements (Local Public Agencies to use separate map detailing location of ROW or TCE)

Confirm with the Project Manager, ADOT right-of-way specialist, and/or project designer if new right-of-way or temporary/permanent easements are required for the project. If no right-of-way or easements are required, check the first box.

If new right-of-way or easements are required, or if the project extends outside of the ADOT right-of-way onto another public transportation easement (e.g., City of Phoenix right-of-way), check the second box. Then check each applicable box, and include the acres of new right-of-way/easement; type of easement (e.g., drainage, land license); and identify the owner/land manager of each parcel of land that is being acquired/used

⁴ Land use includes “residential”, “commercial”, “industrial”, etc. Vacant land should be characterized as “undeveloped.” Do not list zoning designations.

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

| Item | Present | Not Present | Location | Description |
|------------|---------|-------------|----------|------------------------------------|
| Over canal | | | | Number of spans: Name of canal: |
| Over other | | | | Number of spans: Name: |
| Other | | | | |

5. Land Ownership and Land Use

| a) Existing ROW or Easement | | | | |
|-----------------------------|-----------------|---------------|----------|-------|
| Location | ROW or Easement | Owner/Manager | Land Use | Width |
| | | | | |
| | | | | |

| b) Adjacent land | | | |
|------------------|---------------|----------|--|
| Location | Owner/Manager | Land Use | |
| | | | |
| | | | |

6. Right-of-Way/Easements

☐ No new ROW or easement is required for construction of this project.

☐ New ROW or easement is required for construction of this project.

☐ of new ROW from for
☐ of new easement from for
☐ of temporary easement from for

☐ Other

7. Funding

This project is ☐ Federally / ☐ State / ☐ Locally - funded with an estimated cost of \$

☐ This project will be designed and constructed using federal transportation enhancement funds. The estimated cost is

8. Administration

This project will be bid and administered by:

<http://azdot.gov/business/environmental-services-and-planning>
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Checklist Completion Guidelines (CE)

Project Description (continued)

for the project; and why the right-of-way/easement is needed. **If the project requires new right-of-way, FHWA will determine if the amount of new right-of-way is “minor” and, therefore, if the project is processed as a programmatic or non-programmatic CE.**

If the ‘Other’ box is checked, please coordinate with the ADOT EPG planner to discuss right-of-way easements land license, etc.

15. Funding

Contact the ADOT Project Manager to confirm if the project will be federally or state-funded. If the project will be funded using federal transportation enhancement funds, do not check one of the boxes on the first row, but rather check the box in the second row. Include the estimated project cost where prompted. For Local Public Agency projects, break out the total of the Local Public Agency monies and federal monies

16. Administration

If this project is to be administered by ADOT during construction, put ‘ADOT’ in the form field. If this project is to be self-administered, please state the municipality that will implement the project’s construction and contact the ADOT EPG Planner to determine appropriate mitigation measures and responsibilities.

Checklist Completion Guidelines (CE)

Environmental Impact Summary

This next section of the checklist is a summary of the environmental resources/issues present in the project's area of potential effects, and will always be included in the submittal. For each of the listed items, determine if the item is present or not present, and check the applicable box. Guidance in determining the presence of a specific resource is provided in the applicable *Analysis Sheet*. **For each item that is present, a corresponding *Analysis Sheet* shall be attached.** In general, provide information in the "Comment" column in bullet format—complete sentences are not needed—and provide clarification or reference to the *Analysis Sheet*. Contact the ADOT EPG Planner for projects on tribal lands to discuss the environmental process. If additional information is required in the *Environmental Impact Summary Sheet*, contact the ADOT EPG Planner for guidance.

1. Land Management Agency

Identify each land-managing agency within the project's footprint—including those agencies with management responsibilities for new right-of-way/easements. Verify this information with the project manager and/or right-of-way specialist, as applicable. Information on land management/ownership can also be obtained on line through ASLD.⁵ For each land-managing agency marked as present include the agency title (e.g., Tonto National Forest or Navajo Nation, Pinal County, City of Phoenix) in the Comment column. Do not include ADOT as a State Agency.

2. Sensitive Biological Resources

A qualified biologist will determine if a BR, BE, or UPBE is required for the project in coordination with the ADOT EPG Biologist. Refer to the ADOT-approved BR, BE, or UPBE for this project. If it has been determined by a qualified biologist that sensitive biological resources are not present in the project area check the "Not Present" box, and in the Comment column, check the document type, and enter the date of ADOT approval. For Items 1–4, identify if concerns are present, and check the applicable box. In the Comment column, include pertinent information (Items 1 and 4); the date that the federal agency (Item 2) and/or the tribe (Item 3) approved the biological document; and reference the *Sensitive Biological Resources Analysis Sheet*.

For native plants (Item 5), check the applicable box, and indicate the date of the native plant survey in the Comment column. For Other Wildlife and Habitat Concerns, indicate the agency that commented and the date of comment in the Comment column.

If a "Present" box is checked under the "Sensitive Biological Resources" heading, refer to the *Sensitive Biological Resources Analysis Sheet*. **If there are federally listed, endangered or threatened species or critical habitat, the CE is non-programmatic.**

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

| Environmental Impact Summary | | | | |
|------------------------------|--------------------------|--------------------------|---|---------------------------------|
| Land Management Agency | | | | |
| | Present | Not Present | Comment | |
| 1 | <input type="checkbox"/> | <input type="checkbox"/> | Tribal | |
| | <input type="checkbox"/> | <input type="checkbox"/> | Federal | |
| | <input type="checkbox"/> | <input type="checkbox"/> | State | |
| | <input type="checkbox"/> | <input type="checkbox"/> | County | |
| | <input type="checkbox"/> | <input type="checkbox"/> | Local | |
| Natural Environment | | | | |
| | Present | Not Present | Comment | |
| | <input type="checkbox"/> | <input type="checkbox"/> | BR <input type="checkbox"/> BE <input type="checkbox"/> UPBE <input type="checkbox"/> (date ADOT approved:) | |
| 2 | <input type="checkbox"/> | <input type="checkbox"/> | 1. Threatened/Endangered Species | |
| | <input type="checkbox"/> | <input type="checkbox"/> | 2. Federal Sensitive Species/Habitat | |
| | <input type="checkbox"/> | <input type="checkbox"/> | 3. Tribal Sensitive Species/Habitat | |
| | <input type="checkbox"/> | <input type="checkbox"/> | 4. AZ Species of Concern/Habitat | |
| | <input type="checkbox"/> | <input type="checkbox"/> | 5. Native Plants | |
| | <input type="checkbox"/> | <input type="checkbox"/> | 6. Other Wildlife and Habitat Concerns | |
| 3 | <input type="checkbox"/> | <input type="checkbox"/> | Riparian Areas | |
| 4 | <input type="checkbox"/> | <input type="checkbox"/> | Wetland Areas | |
| 5 | <input type="checkbox"/> | <input type="checkbox"/> | 100-Year Floodplain | |
| 6 | <input type="checkbox"/> | <input type="checkbox"/> | Section 404 Waters | |
| 7 | <input type="checkbox"/> | <input type="checkbox"/> | Section 401 Water Quality Certification | |
| 8 | <input type="checkbox"/> | <input type="checkbox"/> | Prime or unique farmland | |
| 9 | <input type="checkbox"/> | <input type="checkbox"/> | Farmland of statewide or local importance | |
| 10 | <input type="checkbox"/> | <input type="checkbox"/> | Sole Source Aquifer(s) | |
| | <input type="checkbox"/> | <input type="checkbox"/> | Wild and Scenic Rivers | |
| | <input type="checkbox"/> | <input type="checkbox"/> | Navigable Waters | |
| Cultural Resources | | | | |
| | Present | Not Present | Comment | |
| 11 | <input type="checkbox"/> | <input type="checkbox"/> | Archaeological/Historic Resources | |
| Section 4(f)/6(f) Resources | | | | |
| | Present | Not Present | Not Applicable | Comment |
| 12 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Section 4(f) Wildlife/Waterfowl |
| | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Section 4(f) Historic site |
| | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Section 4(f) Recreational site |
| | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Section 4(f) Park |
| 13 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Section 6(f) Resource |

http://azdot.gov/business/environmental-services-and-planning
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⁵<http://www.land.state.az.us/maps.htm>

Checklist Completion Guidelines (CE)

Environmental Impact Summary (continued)

3. Noxious/Invasive Species

Forward a copy of the project scoping letters and maps via email to the appropriate ADOT Natural Resources Regional contacts and copy the ADOT EPG Biologist. Allow the Natural Resources Regional contact 30 days to respond with any noxious/invasive species issues. If they do not respond or do not identify any noxious/invasive species concerns check the *Not Present* box and ensure that all noxious/invasive species mitigation present on the *Mitigation Measures Sheet* is included in the environmental document and environmental clearance. If they respond with noxious/invasive species issues, or an invasive species survey was completed and noxious/invasive species are present, check the "Present" box and refer to the *Noxious/Invasive Species Analysis Sheet*. In coordination with the applicable ADOT EPG Biologist, include any additional mitigation measures requested by the Natural Resources Regional contact in the *Mitigation Measures Sheet*.

4. Wetland and Riparian Areas

If wetland(s) or riparian area(s) are present within the project vicinity⁶, check the "Present" box and refer to the applicable *Analysis Sheet* in the Comment column. Check the FHWA Wetland Policy to determine applicability⁷. Do not include xeroriparian areas in this section.

5. 100-Year Floodplain

If the project is located—or partially located—within a designated 100-year floodplain⁸, check the "Present" box. If the project is in an area that has not yet been delineated, check neither the "Present" nor the "Not Present" boxes, but check the applicable box in the Comment column. In the Comment column, list the FEMA FIRM maps by number that were referenced, and any applicable Letter of Map Revision dates. If the "Present" box or the "Floodplain not delineated" box has been checked, refer to the *100-Year Floodplain Analysis Sheet*.

⁶ http://www.usace.army.mil/Portals/2/docs/civilworks/regulatory/reg_supp/west_mt_finalsupp.pdf

⁷ <http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=7df586ce5419aeacd46b5f05beb0e99b&rgn=div5&view=text&node=23:1.0.1.8.47&idno=23>

⁸ <https://msc.fema.gov/>

Checklist Completion Guidelines (CE)

Environmental Impact Summary (continued)

6. Section 404/401

If the project is located within Waters under the jurisdiction of the Corps—or if the project is moving forward under the assumption that a watercourse in the project area is considered Waters—check the “Present” box. Include Impaired/Unique Waters. If the Waters are impacted, include the permit type and/or number, and the Corps file number in the Comment column, where prompted. Section 401 Water Quality Certification: if the project impacts Waters, check the “Present” box and indicate what type of Certification is required (i.e., certified, individual certification, or conditional certification). A copy of the permit/water quality certification and all general, regional, and special conditions—as applicable—will be attached to the submittal and included in the checklist’s *Cover Sheet, Item 5, Enclosed Attachments*. If the “Present” box is checked, refer to the *Clean Water Act Compliance Analysis Sheet*. **If an Individual Permit or NWP No. 23 is required, the CE is non-programmatic.**

7. Prime and Unique Farmland, and Farmland of Statewide or Local Importance

Determine if farmland⁹ is present in the project vicinity, and indicate the NRCS map referenced in the Comment column. If the “Present” box is checked, refer to the *Prime or Unique Farmlands Analysis Sheet*.

8. Sole Source Aquifers

If the project is located within a sole source aquifer¹⁰ include the name of the aquifer in the Comment column, review the current EPA/FHWA MOU¹¹ regarding sole source aquifer review pursuant to *Section 1424(e) of the Safe Drinking Water Act*, and refer to the *Sole Source Aquifers Analysis Sheet*. *LPA’s will send letters to FHWA to be sent out on FHWA letterhead.*

9. Wild and Scenic Rivers

If the project is located in the vicinity of a Wild and Scenic River¹², include the river name in Comment column, indicate if the river is considered a Section 4(f) resource, and refer to the *Wild and Scenic Rivers Analysis Sheet*.

10. Navigable Waters

If the project involves navigable waters¹³ (i.e., the Colorado River), refer to the *Navigable Waters Analysis Sheet*.

⁹ <http://websoilsurvey.nrcs.usda.gov/app/HomePage.htm>

¹⁰ <http://www.epa.gov/region09/water/groundwater/ssa.html>

¹¹ http://www.honolulutraffic.com/Admin_Record/Administrative_Record_rev_2.28.12/Administrative_Record_Volumes_1-11/Vol001_AR00000001/AR00021977.pdf

¹² <http://www.rivers.gov/rivers/>

¹³ <http://www.nae.usace.army.mil/reg/Jurisdiction%20Limits.pdf>

Checklist Completion Guidelines (CE)

11. Cultural Resources

Determine if archaeological/historic resources are present in the APE (even if the resources have been determined to be not eligible for inclusion on the ARHP/NRHP), and check the appropriate "Present" or "Not Present" box. If not present list the report(s), and date(s) of agency and tribal consultation and/or concurrence in the Comment column. Attach all consultation letters. If cultural resources are present in the APE refer to the *Archaeological Resources and Historic Properties Analysis Sheet*.

12. Section 4(f) Resources – for Federally-funded projects only

If there is a potential 4 (f) resource within quarter mile of the project limits, contact the ADOT EPG Planner before proceeding on analysis. If Section 4(f) resources are present within the project area, include the name of the resources in the Comment column, and refer to the *Section 4(f) Resources Analysis Sheet*. If there is no FHWA involvement (approvals or funds), check the "not applicable" box. Leave the 4(f) resources boxes blank.

13. Section 6(f) Resources

If Section 6(f) resources ¹⁴are present within the project area, contact the ADOT EPG NEPA Planner. Include the name of the resources in the Comment column, and refer to the *Section 6(f) of the Land and Water Conservation Funds Act Analysis Sheet*.

Checklist Completion Guidelines (CE)

Environmental Impact Summary (continued)

14. Visual Resources

If the project will have no impact to the visual character of the project site, check the “No” box and explain why there is no change in the Comment column. If the project will impact the existing visual character of the project area, check the “Yes” box and refer to the *Visual Resources Analysis Sheet*.

If the project is located on lands with specific visual resource management objectives (e.g., BLM; Forest Service), determine if the project will meet the agency’s objectives, check the applicable box, and list the name of the management agency and the date of the agency concurrence in the Comment column.

If the project is located along a designated Scenic Road/Byway¹⁵, check the “Yes” box and include the name of the road/byway in the Comment column.

15. Socioeconomic Resources

Determine if residential or commercial development is present or planned within and/or adjacent to the project limits and check the applicable box. If “Other,” provide a brief description. If the project will require residential and/or commercial displacements, check the “Present” box and refer to the *Socioeconomic Impacts Analysis Sheet*. **If the project will require residential and/or commercial displacements, the CE is non-programmatic.**

Based on the existing environment, if the project may result in potential concerns regarding access and/or neighborhood continuity and community cohesion, check the “Present” box and refer to the *Socioeconomic Impacts Analysis Sheet* in the Comment column. If there are no concerns, check the applicable box, and explain why in the Comment column.

16. Title VI/EJ Populations

If the project will not result in any temporary, adverse, or permanent effects on any businesses, residents, or landowners (including but not limited to effects to access, relocations, and neighborhood continuity), DO NOT check either the “Present” or “Not Present” box, but rather insert the following phrase in the Comment column “the presence of Title VI/EJ populations was not determined because the project will have no new effects on the surrounding area.”

[Federal Project No.]
[ADOT Project No.]
[Project Name]

| Visual Resources | | | |
|--|--------------------------|--------------------------|--|
| | Yes | No | Comment |
| Change in the existing visual character as a result of the project | <input type="checkbox"/> | <input type="checkbox"/> | |
| Project's post-construction visual quality meets land-managing agency's specific visual resource management objectives | <input type="checkbox"/> | <input type="checkbox"/> | Name of management agency: Date of agency concurrence: |
| Project is along a designated Scenic Road/Byway | <input type="checkbox"/> | <input type="checkbox"/> | Scenic Road/Byway name: |
| Socioeconomic Resources | | | |
| | Present | Not Present | Comment |
| Existing Development | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> Residential <input type="checkbox"/> Commercial <input type="checkbox"/> Other: |
| Planned Development | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> Residential <input type="checkbox"/> Commercial <input type="checkbox"/> Other: |
| Displacement(s) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> Residential <input type="checkbox"/> Commercial <input type="checkbox"/> Other: |
| Temporary/Permanent Access Concerns | <input type="checkbox"/> | <input type="checkbox"/> | |
| Neighborhood Continuity and Community Cohesion Concerns | <input type="checkbox"/> | <input type="checkbox"/> | |
| Title VI/EJ Populations | <input type="checkbox"/> | <input type="checkbox"/> | |
| Physical/Construction | | | |
| | Present | Not Present | Comment |
| Construction-related Impacts | <input type="checkbox"/> | <input type="checkbox"/> | |
| Utilities | <input type="checkbox"/> | <input type="checkbox"/> | |
| Hazardous Materials | <input type="checkbox"/> | <input type="checkbox"/> | Date ADOT PISA approved: |
| Increase capacity or alter alignment | <input type="checkbox"/> | <input type="checkbox"/> | * Refer to Noise Analysis Sheet |
| Noise receivers/customers present | <input type="checkbox"/> | <input type="checkbox"/> | |
| | * Quantitative Analysis | ** Qualitative Analysis | |
| ** This project was evaluated using the "Arizona Department of Transportation's Noise Abatement Policy," July 13, 2011. The policy was written to conform to the federal policy and guidelines as stated in "Title 23, Code of Federal Regulations, Part 772." Due to the nature of the work this project involves, this project will not increase current noise levels or present a negative impact. Construction noise will be controlled in accordance with the Arizona Department of Transportation Standard Specifications for Road and Bridge Construction, (Section 104.08 (2008 Edition)), special provisions, and local rules or ordinances. | | | |
| | Required | Not Required | Comment |
| AZPDES/MPDES Permit | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> < 1 acre of disturbance <input type="checkbox"/> ≥ 1 acre of disturbance <input type="checkbox"/> Within 0.25 mile of water |

¹⁵ <http://arizonascenicroads.com/>
<http://byways.org/explore/states/AZ/maps.html>

Checklist Completion Guidelines (CE)

Environmental Impact Summary (continued)

If the project will have temporary, adverse, or permanent effects on any businesses, residents, or landowners, consult the most recent Census¹⁶ data to determine if protected populations are present in the project vicinity. If protected populations are present, check the applicable box and refer to the *Title VI/Environmental Justice Analysis Sheet* in the Comment column. If protected populations are not present in the project vicinity, indicate the results of the search in the Comment column, and check the “Not Present” box.

17. Construction-related Impacts

If the project will result in any construction-related impacts, refer to the *Construction-Related Impacts Analysis Sheet* in the Comment column. If the project will not result in construction-related impacts, check the “Not Present” box and explain in the Comment column.

18. Utilities

If utilities are present in the project area, refer to the *Utilities Analysis Sheet* in the Comment column.

19. Hazardous Materials

Refer to the ADOT-approved hazardous materials documentation (e.g., PISA), and include the date of ADOT approval of PISA in the Comment column. Attach the PISA approval page. If hazardous materials were identified in the project vicinity, check the “Present” box, and complete and refer to the *Hazardous Materials Evaluation Analysis Sheet* in the Comment column. If hazardous materials were not identified in the project vicinity, check the “Not Present” box; insert the date of ADOT approval of the PISA and in the “Comment” column, and complete and refer to the *Hazardous Materials Evaluation Analysis Sheet*.

20. Traffic Noise Analysis

Refer to FHWA’s Noise Abatement Criteria¹⁷ and the ADOT NAP¹⁸. Check the “Yes” box if the proposed project increases capacity or alters an existing roadway alignment. Check the “Yes” box if noise receivers are located within approximately 1,000 feet of the project site. Check the “Quantitative Analysis” box if both of the previously described boxes are checked “Yes” and complete and refer to the *Noise Analysis Sheet* in the Comment column. Otherwise, check the “Qualitative Analysis” box.

¹⁶ http://azdot.gov/docs/default-source/planning/guidelines_environmental_justice_analysis.pdf?sfvrsn=4

¹⁷ <http://www.fhwa.dot.gov/environment/polguid.pdf>

¹⁸ http://azdot.gov/docs/default-source/planning/noise_final_noise_abatement_policy_and_addendum_superceded.pdf?sfvrsn=2

Checklist Completion Guidelines (CE)

Environmental Impact Summary (continued)

21. AZPDES/NPDES

Indicate in the Comment column if the project will result in greater than or less than one acre of disturbance. Determine if an AZPDES (non-tribal land) AND /OR NPDES (tribal land) permit is required. Also indicate in the Comment column if the project is located within 0.25 mile of any unique/impaired water¹⁹, and include the water name. If the project will result in ground disturbance, refer to the *AZPDES/NPDES Analysis Sheet*.

¹⁹ <http://azdot.gov/business/environmental-services-and-planning/environmental-guidance-documents/technical-guidance>

Checklist Completion Guidelines (CE)

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| | | [Federal Project No.] [ADOT Project No.] [Project Name] |
|--------------------------------------|--|---|
| Air Quality/Mobile Source Air Toxics | <p>The purpose of this project is to _____ by constructing _____. This project will not result in any meaningful changes in traffic volumes, vehicle mix, location of the existing facility, or any other factor that would cause an increase in emissions impacts relative to the no-build alternative. As such, FHWA has determined that this project will generate minimal air quality impacts for Clean Air Act criteria pollutants and has not been linked with any special MSAT concerns. Consequently, this effort is exempt from analysis for MSATs.</p> <p>Moreover, EPA regulations for vehicle engines and fuels will cause overall MSATs to decline significantly over the next 40 years. Even after accounting for a 102 percent increase in VMT, FHWA predicts MSATs will decline by 83 percent in total annual emissions, from 2010 to 2050, based on regulations now in effect. This will both reduce the background level of MSATs as well as the possibility of even minor MSAT emissions from this project.</p> | |

22. Air Quality/Mobile Source Air Toxics

Refer to the non-attainment/maintenance area maps on the ADOT Web site²⁰ to determine if the project is located in an area that meets all National Ambient Air Quality Standards. If the project is located in non-attainment or maintenance area(s), check the applicable boxes and include the name(s) of the nonattainment/maintenance area(s) in the Comment column, and refer to the *Air Quality Analysis Sheet*.

If the project is not federally funded, delete the "Mobile Source Air Toxics" heading and associated wording, leaving only the "Air Quality" heading and associated boxes. If the project is federally funded, insert the project purpose and major elements of the project scope in the appropriate locations within the text.

²⁰ <http://azdot.gov/business/environmental-services-and-planning/environmental-guidance-documents/technical-guidance>

Checklist Completion Guidelines (CE)

Agency Coordination/Public Involvement

This page will always be included in the submittal. Follow ADOT EPG's Scoping Guidance²¹. Coordination/scoping letters/fliers should be distributed to all applicable agencies/public entities, adjacent property owners, and non-governmental organizations. All coordination/scoping letters and mailing lists must be reviewed by the ADOT EPG Planner prior to distribution. Send copies of agency/public scoping letters to the ADOT District in which the project is located. The same letter may not be appropriate for all agencies and public on the mailing list. Additional or different information or requests may be required in some letters. Copies of all responses received must be forwarded to the ADOT EPG Planner within one week of receipt of the response.

1. Agency Scoping/Coordination (as applicable)

List all agencies—including all departments within agencies—contacted, adding and/or deleting unused rows as applicable. For each agency/department, include the date the entity was contacted (in the "Date Contacted" column), the method of notification (i.e., flier, letter, e-mail), the comment—if any—received, and the response to the comment. In the "Response" column, also include the date and method of the response (e.g., 01/07/2005; letter). Insert additional rows and attach additional pages as needed. Comments received from agencies, and the response to those comments, should be attached to the environmental document, and included on Page 1 (refer to the checklist's *Cover Sheet, Item 5. Enclosed Attachments*). If comments are addressed in an *Analysis Sheet*, refer to the sheet in the "Response" column.

Do not send coordination/scoping letters to the Corps²², EPA²³, ADEQ, or Arizona Department of Agriculture as part of the agency scoping process. If any portion of the project is located within a 100-year floodplain, the floodplain administrator shall be included in the scoping process. If the project is located on tribal lands, coordination/scoping letters are not sent to state agencies (e.g., AGFD). If the project is located—or partially located—on federal land (e.g., BLM) contact the land-managing agency to determine applicable agencies for coordination. For example, National Forests do not routinely allow plant salvage by the Arizona Department of Agriculture, but they do request coordination with the AGFD.

In accordance with ADOT EPG Biological Procedures, include a request for a special status species list when preparing the agency coordination letter for the ADOT NEPA Planner to send to AGFD. Also refer to the ADOT Biological Scoping Guidelines for language to use in applicable biological agency scoping letters. If the project occurs on federal land, contact AGFD only if requested to do so by the land-managing

²¹ <http://azdot.gov/docs/planning/categorical-exclusion-scoping-guidance.pdf?sfvrsn=0>

²² Unless the project involves navigable waters, in which case the Corps should be contacted during project scoping activities.

²³ Unless the project involves sole source aquifer(s).

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Agency Coordination/Public Involvement Analysis Sheet

| | Date contacted | Method of notification | Comment | Response |
|------------------------------------|----------------|------------------------|---------|----------|
| Agency Scoping | | | | |
| AGFD | | | | |
| Bureau of Indian Affairs | | | | |
| Bureau of Land Management | | | | |
| Bureau of Reclamation | | | | |
| County | | | | |
| Department | | | | |
| Department of Public Safety | | | | |
| EPA | | | | |
| Local Municipality | | | | |
| Department | | | | |
| National Park Service | | | | |
| US Army Corps of Engineers | | | | |
| US Coast Guard | | | | |
| USFWS | | | | |
| USDA Forest Service | | | | |
| Other | | | | |
| Public Scoping/Coordination | | | | |
| people contacted | | | | |
| List Organizations | | | | |
| Center for Biological Diversity | | | | |

Public Meeting(s)

☐ Public meeting not held

☐ Public meeting(s) was (were) held:

- Date(s) and location(s):
- Number of attendees:
- Method(s) of notification:
- Handout materials:

☐ No ☐ Yes—see attached
- Comments/Responses:

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Checklist Completion Guidelines (CE)

Agency Coordination/Public Involvement (continued)

agency. If so requested, state this in the text, and continue the discussion as directed below.

2. Public Scoping/Coordination

In the first column, identify the number of individuals contacted during the public scoping process, do not include addresses or contact information. Include the date that individuals were contacted in the "Date Contacted" column, the method of notification (i.e., letter, flier) in the third column, and list any comments received (in bullet format) in the "Comment" column. In the "Response" column, include the applicable response and the date and method of response (e.g., 01/07/2005; letter). Often, input received from the public requires a response from ADOT. Indicate in response column if one needed or not. Attach additional pages as needed. If comments are addressed in an *Analysis Sheet*, refer to the sheet in the "Response" column. Do not attach comment or response letters from the public to the document unless directed to do so by the ADOT EPG Planner. Include letters without personal addresses.

3. Public Meeting(s)

Check the applicable box to indicate whether a public meeting was held. If no public meeting was held, provide a brief explanation why not (e.g., "all interested parties were contacted as part of the scoping process and no issues were identified.")

If a public meeting was held, include the date and location, number of attendees, and method of notification. If LPA, coordinate with ADOT EPG Planner. If handout materials were provided, check the applicable box and attach the handout to the submittal packet, indicating such on Page 1 (refer to the checklist's *Cover Sheet, Item 5. Enclosed Attachments*).

Checklist Completion Guidelines (CE)

Sensitive Biological Resources Analysis Sheet

This page is an *Analysis Sheet* and should be included if any Sensitive Biological Resources were marked as "Present" in the *Environmental Impact Summary*. Under Item 1 insert "BR," "BE," or "UPBE." If the biological analysis results in a "may affect" (either not likely to adversely affect or likely to adversely affect) check the boxes associated with *Item 2* and/or *Item 3*; (do not check *Item 1*); and include information on the "no effect" species where indicated. For all species, write the common name and include the scientific name, in italics, in parentheses immediately following the common name. For example: Attwater's greater prairie-chicken (*Tympanuchus cupido attwateri*). Any BR, BE or UPBE with a no effect determination must be included with the draft CE for ADOT review. The BR, BE or UPBE must also be included with the final CE for submittal to FHWA. Include any agency or tribal review approval or correspondence of biology document and attach. **If there are federally listed endangered or threatened species or critical habitat, the CE is non-programmatic.**

1. No Effect

If the BR/BE resulted in a finding of "no effect" check the box. Within the table, list each species analyzed in detail. For each species, include a brief explanation of why a no effect determination was made (e.g., no vegetation disturbance; project occurs outside breeding season) in the second column.

2. May Affect, Not Likely to Adversely Affect/Is Not Likely to Jeopardize the Continued Existence or Result in Habitat Destruction or Adverse Modification/May Impact Individuals, but is Not Likely to Result in Trend Toward Federal Listing or Loss of Viability

If the BE resulted in a finding of "may affect, not likely to adversely affect"; "Is not likely to jeopardize the continued existence of the species or result in the destruction or adverse modification of habitat"; or "may impact individual, but is not likely to result in a trend toward federal listing or loss of viability," check the box. In the table, list species analyzed in detail in the first column. For each species, the second column should include a brief explanation of which affect determination was made and why (e.g., "species use of the area is seasonal and project will occur when species are not present"). Include the date (MM/DD/YYYY) of the USFWS letter, and a statement of "no effect" on other species where prompted. Approvals need to be attached.

3. May Affect, Likely to Adversely Affect/Is Likely to Jeopardize the Continued Existence/Is Likely to Result in the Destruction or Adverse Modification of Habitat/Is Likely to Result in a Trend Toward Federal Listing or Loss of Viability

If the BE resulted in a finding of "may affect, likely to adversely affect," "is likely to jeopardize the continued existence," "is likely to result in the destruction or adverse

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Sensitive Biological Resources Analysis Sheet

1. Threatened and Endangered Species

A was prepared and an "effects" determination was made for each species.

☐ The project will not effect listed, threatened, endangered, proposed, or candidate species or designated critical habitat.

| Species analyzed in detail | Reason for "no effect" |
|----------------------------|------------------------|
| | |
| | |
| | |
| | |

☐ The project may affect but is not likely to adversely affect; is not likely to jeopardize the continued existence of the species or its habitat; or may impact individuals of species, but is not likely to result in a trend toward federal listing or loss of viability for the following listed, threatened, endangered, proposed, or candidate species or designated critical habitat.

| Species analyzed in detail | Determination and reason |
|----------------------------|--------------------------|
| | |
| | |
| | |
| | |

1. Date of USFWS concurrence letter:
2. Statement of "no effect" on other species:

☐ The project may affect and is likely to adversely affect, is likely to jeopardize the continued existence of species, or is likely to result in the destruction or adverse modification of habitat; or is likely to result in a trend toward federal listing or loss of viability for the following listed, threatened, endangered, proposed, or candidate species or designated critical habitat.

| Species analyzed in detail | Determination and reason |
|----------------------------|--------------------------|
| | |
| | |
| | |
| | |

1. Date of USFWS Biological Opinion:
2. Statement of "no effect" to other species:

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Checklist Completion Guidelines (CE)

Sensitive Biological Resources Analysis Sheet (continued)

3 (continued). May Affect, Likely to Adversely Affect/Is Likely to Jeopardize the Continued Existence/Is Likely to Result in the Destruction or Adverse Modification of Habitat/Is Likely to Result in a Trend Toward Federal Listing or Loss of Viability (continued)

modification of habitat”; “is likely to result in a trend toward federal listing or loss of viability” check the box. In the table list species analyzed in detail in the first column.

For each species, the second column should include the determination that was made and a brief explanation of why this affect determination was made (e.g., take is anticipated). Include the date (MM/DD/YYYY) of the USFWS letter, and a statement of “no effect” on other species where prompted.

Checklist Completion Guidelines (CE)

Sensitive Biological Resources Analysis Sheet (continued)

4. Federal Sensitive Species

If the project occurs on federal land and federal sensitive species were analyzed, check the box, and insert the applicable biology document type (BR or BE). List the species analyzed in detail in the first column, and the anticipated effects (e.g., disturbance from construction noise) and determination for each species (e.g., may impact individuals, but is not anticipated to result in a trend toward federal listing or loss of viability) in the second column.

Once coordination is complete, check the box, insert the name of the agency (e.g., BLM, Phoenix Field Office), the date, and list the mitigation required to protect the sensitive species (if applicable). Attach any agency correspondence, feedback or concurrences received to the environmental document. If no mitigation is required, state this under the coordination statement. If the land-managing agency declined to review the biological document, check the box, and list the applicable biological document.

5. Tribal Sensitive Species

If the project occurs on tribal lands, check the box and insert the name of the tribe. If the tribe requests special species be evaluated as part of the project, list the species analyzed in detail in the first column. Attach any agency correspondence, feedback or concurrences received to the environmental document. List anticipated effects (e.g., disturbance from construction noise) and determination for each species (e.g., may impact individuals, but is not anticipated to result in a trend toward federal listing or loss of viability) in the second column. Include any required mitigation measures and the date of the tribal concurrence with the biological document. If the tribe declined to review the biological document, check the box, and include the applicable biological document.

If the project occurs on the Navajo Nation, requests for the Navajo Nation Endangered Species List will be prepared by the ADOT EPG consultant and submitted to the ADOT EPG biologist. For state-funded projects, the ADOT EPG biologist will send the request directly to the Navajo Nation. For federally funded projects, the ADOT EPG biologist will forward the request to FHWA to be printed on FHWA letterhead and mailed.

If the project occurs on the Fort Apache Reservation, include a statement that the tribe completed the biological report for ADOT after the colon in *Item 5: Date of Tribal review(s)* and include any pertinent Tribal coordination information under *Item 5: Other Tribal Coordination*.

6. Arizona Species of Concern

The AGFD has no jurisdiction on tribal land or federal land. However, the National Forests and BLM generally request coordination with AGFD. If the project occurs on

Federal Project No. [____]
 ADOT Project No. [____]
 Project Name [____]

2. Federal Sensitive Species

☐ Sensitive species on the land managing agency's list were analyzed in the

| Species analyzed in detail | Anticipated effects/Determination and reason |
|----------------------------|--|
| | |
| | |
| | |

☐ Coordination with _____ has been completed.

The agency(ies) was (were) given a copy of the _____ for review, and its (their) representative(s) signed a review letter on _____, indicating that the documentation was adequate.

☐ Land managing agency declined to review the _____, but a courtesy copy of the document was submitted.

3. Tribal Sensitive Species

☐ The project occurs on _____ tribal lands.

| Species analyzed in detail | Anticipated effects/Determination and reason |
|----------------------------|--|
| | |
| | |
| | |

1. Required mitigation measures:
 2. Date of Tribal review(s):
 3. Other Tribal coordination:

☐ The Tribe declined to review the _____, but a courtesy copy of the document was submitted.

4. Arizona Species of Concern

☐ Project occurs on _____ land; therefore, no coordination with AGFD was required.

☐ AGFD coordination

☐ AGFD sent a Sensitive Species list.
☐ AGFD requested _____
☐ AGFD did not respond or did not respond with a Sensitive Species list.

☐ Sensitive Species: _____
 Sensitive species AGFD requested specific consideration for, or species that ADOT has determined a need to address.

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Checklist Completion Guidelines (CE)

Sensitive Biological Resources Analysis Sheet (continued)

6. Arizona Species of Concern (continued)

tribal land, delete this section; if the project occurs on federal land, delete this section unless the land-managing agency requests coordination with AGFD. If the project occurs on both federal and non-federal lands, modify the text to identify that this section applies only to portions of the project on non-federal lands. Ensure that the limits of the federal land are on the Project Description pages as applicable.

AGFD will be scoped as part of the agency scoping process. If AGFD provides a sensitive species list, check the applicable box and include the correspondence with the submittal and list on the checklist's *Cover Sheet, Item 5, Enclosed Attachments*. If AGFD responded requesting additional information or with other concerns, check the applicable box and include a brief explanation. If AGFD requested specific consideration for a specific species, check the "Sensitive Species" box, identify the species, and include a discussion of AGFD concerns and how these were addressed. Also include specific mitigation here, in the environmental clearance, and in the *Mitigation Measures Sheet*.

Checklist Completion Guidelines (CE)

Sensitive Biological Resources Analysis Sheet (continued)

7. Native Plants

The Arizona Native Plant Law applies only to listed plants that are naturally occurring, not landscaped or planted individuals. The Arizona Department of Agriculture maintains the most current species list.²⁴ The Arizona Department of Agriculture has no jurisdiction on tribal land or federal land. If the project occurs on tribal land, delete this section; if the project occurs on federal land, delete this section unless the land-managing agency requests that the project follow the Arizona Native Plant Law. The biological report completed for the project will state if protected native plants are present in the project area. If protected native plants are present, but will not be impacted (i.e., will be avoided by construction), check the applicable box and include an explanation.

If protected native plants will be impacted, verify the landowner of the project area. If the project is located on federal lands, check the applicable box. If the federal land manager requests that the project follow the Arizona Native Plant Law, check the applicable box, insert the name of the land managing agency, and include a brief description of the coordination and list and applicable mitigation here, in the *Mitigation Measures Sheet*, and in the environmental clearance.

If the project is located on nonfederal lands, the Arizona Department of Agriculture must determine the disposition of the plants. Check the applicable box, and include this mitigation in the *Mitigation Measures Sheet*, and in the environmental clearance. All native plant mitigation measures are the responsibilities of ADOT Roadside Development Section.

8. Other Wildlife and Habitat Concerns

Refer to the biological document and any responses received during the agency scoping/coordination process to identify other wildlife and habitat concerns. Indicate in the table if other wildlife/habitat concerns were identified and include applicable mitigation in the table, in the mitigation measures section, in the environmental clearance, and on the *Mitigation Measures Sheet*.

9. Mitigation Measures

Include all applicable mitigation specific to sensitive biological resources, including mitigation necessary for avoidance. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities).

[Federal Project No.]
[ADOT Project No.]
[Project Name]

5. Native Plants (Arizona Department of Agriculture's list of protected native plants)

☐ There are existing protected native plants within the project limits that will not be impacted because:

☐ Native plant impacts:

Federal Land

☐ There are existing protected native plants on _____ lands in the project limits that will be impacted. The Arizona Department of Agriculture has no jurisdiction on federal lands.

☐ The _____ has requested that the project follow the Arizona Native Plant Law, and

Non-Federal Land

☐ Protected native plants on nonfederal land within the construction limits will be impacted by the project; therefore, the _____ (identify responsible party) will notify the Arizona Department of Agriculture at least 60 days prior to the start of construction so that the Arizona Department of Agriculture can determine the disposition of these plants.

6. Other Wildlife and Habitat Concerns

| Item | Issue | No Issue | Mitigation |
|-----------------------|--------------------------|--------------------------|------------|
| Riparian | <input type="checkbox"/> | <input type="checkbox"/> | |
| Wetland | <input type="checkbox"/> | <input type="checkbox"/> | |
| Game species | <input type="checkbox"/> | <input type="checkbox"/> | |
| Wildlife connectivity | <input type="checkbox"/> | <input type="checkbox"/> | |
| Migratory birds | <input type="checkbox"/> | <input type="checkbox"/> | |
| Other | <input type="checkbox"/> | <input type="checkbox"/> | |

Mitigation Measures

Roadside Development Section Responsibilities

- Protected native plants within the project limits will be impacted by this project; therefore the ADOT Roadside Development Section will notify the Arizona Department of Agriculture at least 60 days prior to the start of construction so that the Arizona Department of Agriculture can determine the disposition of these plants.

Local Public Agency Responsibilities

- Protected native plants within the project limits will be impacted by this project; therefore the (name of Local Public Agency) will notify the Arizona Department of Agriculture at least 60 days prior to the start of construction so that the Arizona Department of Agriculture can determine the disposition of these plants.

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²⁴ <http://www.azda.gov/ESD/nativeplants.htm>

Checklist Completion Guidelines (CE)

Noxious/Invasive Species Analysis Sheet

Determine if any ground-disturbing activities that will be required for the project. If there are no noxious/invasive species concerns, delete this page from the document, and ensure that only the mitigation measures listed under contractor responsibilities are present in the *Mitigation Measures Sheet* and in the environmental clearance.

Email a copy of the project scoping letters to the ADOT Regional Natural Resources contact and copy the ADOT EPG Biologist. Include in the project description any ground disturbing activities that will be required for the project. If the Regional Natural Resources contact does not identify any noxious/invasive species concerns, delete this page from the document, and ensure that only the mitigation measures listed under contractor responsibilities are present in the *Mitigation Measures Sheet* and in the environmental clearance.

1. Noxious/Invasive Species Concerns

Check the box if the noxious/invasive species concerns are identified. If specific noxious/invasive species are identified, list the noxious/invasive species found in the project area—if more than two species were identified use a bullet format. For all species, write the common name and include the scientific name, in italics, in parenthesis immediately following the common name. For example: Russian Knapweed (*Acroptilon repens*).

2 – 4. Mitigation Measures

If the project is not a Railroad Project, delete the “Railroad Responsibilities” mitigation (*Item 4*), and include the remaining mitigation (*Items 2 and 3*). If the project is a Railroad Project delete mitigation in *Items 2 and 3*. Mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

| Noxious/Invasive Species Analysis Sheet | | (Federal Project No.) (ADOT Project No.) (Project Name) |
|---|---|---|
| 1 | <input type="checkbox"/> Invasive species concerns: | |
| Mitigation Measures | | |
| 2 | <u>Design Responsibilities</u> <ul style="list-style-type: none"> All disturbed soils that will not be landscaped or otherwise permanently stabilized by construction will be seeded using species native to the project vicinity. The Roadside Development Section will provide special provisions for the control of noxious and invasive plant species during construction that may require treatment and control within the project limits. The Roadside Development Section will review and approve or reject the Noxious and Invasive Plant Species Treatment and Control Plan prepared by the contractor and submitted to the Engineer as required in the specifications within 10 working days of receipt. Once approved the Department Roadside Development Section will return the plan to the Engineer. | |
| 3 | <u>Contractor Responsibilities</u> <ul style="list-style-type: none"> To prevent the introduction of invasive species, all earth-moving and hauling equipment shall be washed at the contractor's storage facility prior to entering the construction site. To prevent invasive species seeds from leaving the site, the contractor shall inspect all construction equipment and remove all attached plant/vegetation and soil/mud debris prior to leaving the construction site. All disturbed soils that will not be landscaped or otherwise permanently stabilized by construction shall be seeded using species native to the project vicinity. Prior to the start of ground-disturbing activities, the contractor shall arrange for the eradication of noxious and invasive species in the project area. The contractor shall develop a Noxious and Invasive Plant Species Treatment and Control Plan in accordance with the requirements in the contract documents. Plants to be controlled shall include those listed in the State and Federal Noxious Weed and the State Invasive Species list in accordance to State and Federal Laws and Executive Orders. The plan and associated treatments shall include all areas within the project right of way and easements as shown on the project plans. The treatment and control plan shall be submitted to the Department Roadside Development Section for review and approval prior to implementation by the contractor. | |
| 4 | <u>Railroad Responsibilities</u> <ul style="list-style-type: none"> To prevent the introduction of invasive species, all earth-moving and hauling equipment shall be washed at the contractor's storage facility prior to entering the construction site. To prevent invasive species seeds from leaving the site, the contractor shall inspect all construction equipment and remove all attached plant/vegetation and soil/mud debris prior to leaving the construction site. All disturbed soils that will not be landscaped or otherwise permanently stabilized by construction shall be seeded using species native to the project vicinity. | |

Checklist Completion Guidelines (CE)

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Wetland Area(s) Analysis Sheet

1

2

3

4

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☐ Potential wetland areas within the project vicinity will not be impacted because these areas will be avoided by construction.

☐ Erosion control or storm water management measures will be used to protect the potential wetland(s).

☐ Control Measures (refer to the AZPDES/NPDES Analysis Sheet)
☐ None will be used.

☐ Potential wetland areas will be impacted by the project.

1. Location of potential wetland(s) affected by the project:

 2. Describe proposed work in the potential wetland(s):

 3. List observed or expected waterfowl and wildlife inhabiting or dependent on the potential wetland:
 •
 •

☐ FHWA Wetland Policy (23 CFR § 777) applies.

☐ Individual Wetland Finding required.

☐ Section 404 Permit required (refer to Clean Water Act Compliance Analysis Sheet).

☐ Wetland has been determined as waters. Corps File Number: _____
☐ Section 404 Permit type: _____

☐ The project has been coordinated with the Corps and _____

Mitigation Measures

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Wetland Area(s) Analysis Sheet

Determine if wetland(s) are present within the project area.²⁵ If wetland(s) are not present in the project vicinity, delete this page from the document. If wetlands will be impacted, a Section 404 Permit may be required. **If any work occurs in wetland(s), the CE is non-programmatic and may require a Corps of Engineers Individual Permit. Contact the ADOT EPG Planner.**

1. Wetland(s)

Determine if wetland(s) will be avoided or impacted by the project, and check the applicable box. If no mitigation is necessary for avoidance, explain how/why the area will be avoided (at bottom of slope where no work will occur, etc.).

2. Erosion Control/Stormwater Management

If specific erosion control or stormwater management measures will be used to protect the wetland(s), check the applicable box, and include a list of the mitigation measures, or refer to the *AZPDES/NPDES Analysis Sheet*.

3. Wetland Impacts

If wetland(s) will be impacted, list the location of the wetland(s), the proposed work occurring in the wetland, and observed and/or expected waterfowl/wildlife inhabiting or dependent on the wetland—this information should be consistent with the *Sensitive Biological Resources Analysis Sheet*.

4. FHWA Wetland Policy (23 CFR § 777)

Review the FHWA Wetland Policy to determine applicability.²⁶

5. Section 404 Permit

If the wetland has been delineated and determined to be under the jurisdiction of the Corps, check the applicable box and state the Corps File Number. If a Section 404 Permit is required, include the permit number (if a NWP) or state that an Individual Permit is required. If the wetland is not a Waters, and no permit is required, check the applicable box and include a summary of coordination with the Corps.

6. Mitigation Measures

Include all applicable mitigation measures specific to the wetland(s), including mitigation necessary for avoidance. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

²⁵ http://www.usace.army.mil/Portals/2/docs/civilworks/regulatory/reg_supp/west_mt_fin_alsupp.pdf

²⁶ <http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=7df586ce5419aeacd46b5f05beb0e99b&rgn=div5&view=text&node=23:1.0.1.8.47&idno=23>

Checklist Completion Guidelines (CE)

| Riparian Area(s) Analysis Sheet | | (Federal Project No.) (ADOT Project No.) (Project Name) |
|---------------------------------|---|---|
| 1 | <input type="checkbox"/> Riparian area(s) within the project vicinity will not be impacted because these areas will be avoided by construction. | |
| 2 | <input type="checkbox"/> Erosion control or storm water management measures will be used to protect the riparian area(s). <input type="checkbox"/> Control Measures (refer to the AZPDES/NPDES Analysis Sheet) <input type="checkbox"/> None will be used | |
| 3 | <input type="checkbox"/> Riparian area(s) will be impacted by the project. 1. Location of the riparian area(s) affected by the project. 2. Proposed work in the riparian area(s). 3. List observed or expected wildlife and plants inhabiting or dependent upon the riparian area(s). | |
| 4 | <input type="checkbox"/> Section 404 permit required (refer to Clean Water Act Compliance Analysis Sheet). <input type="checkbox"/> Riparian area has been determined as waters. Corps file no. <input type="checkbox"/> Section 404 Permit type. <input type="checkbox"/> The project has been coordinated with Corps and | |
| 5 | Mitigation Measures | |

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Riparian Area(s) Analysis Sheet

Determine if riparian area(s) are present within the project area (this is not applicable to xeroriparian areas). If riparian area(s) are not present in the project vicinity, delete this page from the document. If riparian area(s) will be impacted by the project, a Section 404 Permit may be required. Include mitigation measures where applicable in the following sections, and include again in the *Clean Water Act Compliance Analysis Sheet, Item 5*.

1. Riparian Area(s)

Determine if riparian area(s) will be avoided or impacted by the project and check the applicable box. If no mitigation is necessary for avoidance, explain how/why the area will be avoided (e.g., at bottom of slope where no work will occur, etc.).

2. Erosion Control/Stormwater Management

If specific erosion control or stormwater management measures will be used to protect the riparian area(s), check the applicable box, and include a list of the mitigation measures, or refer to the *AZPDES/NPDES Analysis Sheet*.

3. Riparian Impacts

If riparian area(s) will be impacted, list the location of the area(s), the proposed work occurring in the riparian area, and observed and/or expected flora/fauna inhabiting or dependent on the riparian area—this information should be consistent with the *Sensitive Biological Resources Analysis Sheet*.

4. Section 404 Permit

If the riparian area has been delineated and determined Waters, check the applicable box and state the Corps File No. If a Section 404 Permit is required, include the permit number (if a NWP) or state that an Individual Permit is required. If the riparian area is not a Waters, and no permit is required, check the applicable box and include a summary of coordination with the Corps.

5. Mitigation Measures

Include all applicable mitigation measures specific to the riparian area(s), including mitigation necessary for avoidance. List mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

Checklist Completion Guidelines (CE)

100-Year Floodplain Analysis Sheet

[Federal Project No.]
[ADOT Project No.]
[Project Name]

1

FIRM Map No(s).

☐ The project is within a 100-year floodplain. Because the project is on an existing alignment, the project will not substantially modify the topography in the project area. Therefore, no impacts to floodplains are anticipated.

☐ The project will impact a 100-year floodplain.

☐ The project is located in an area that has not been delineated on the FEMA FIRM for the 100-year floodplain. Impacts to floodplains typically occur when the topography within a floodplain is substantially modified either by placement or removal of materials within the floodplain. Because this is a project on existing alignment, this project will not substantially modify the floodplain topography in the project area. Therefore, no impacts to floodplains are anticipated.

☐ The floodplain manager has been apprised of the project and

☐ Other.

2

Mitigation Measures

Design Responsibilities

▪ will be provided an opportunity to review and comment on the design plans.

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100-Year Floodplain Analysis Sheet

Review FEMA 100-year FIRMs on the FEMA website. Include all floodplain FIRM numbers that occur in the project area and the effective or revision date for each FIRM, where indicated. Include the FEMA FIRM numbers even if the 100-year floodplain has not been delineated. If the project is not located within a 100-year floodplain, delete this page from the document.

1. FIRM Map No(s)

Determine if the project is within a 100-year floodplain. If a determination cannot be made whether or not the project is within a 100-year floodplain, contact the county flood control district or the local floodplain manager for assistance.

If the project is within a floodplain, determine if the floodplain will be impacted by the project. Impacts typically occur when topography within the floodplain is substantially modified either by placement or removal of materials within the floodplain. If the project will impact a 100-year floodplain, check the applicable box and provide an explanation of project impacts. Additionally, follow the requirements of 23 CFR Part 650(A). Contact the ADOT EPG Planner and develop summary text to be included in the document.

If the floodplain has not been delineated for the project area, check the applicable box, and include the type of project in the paragraph where prompted.

Include the floodplain manager in the scoping process if the project is within a 100-year floodplain, or if the floodplain is not delineated. Check the box indicating that the floodplain manager has been apprised of the project, and include a statement regarding any comments received (e.g., "and has no comment on the project").

2. Mitigation Measures

If the project is located within a 100-year floodplain, fill in the floodplain manager's agency at the beginning of the mitigation measure. For example: "The City of Flagstaff Engineer will be provided an opportunity to review and comment on the design plans." If there is additional mitigation, list it in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). All mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

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Checklist Completion Guidelines (CE)

Clean Water Act Compliance Analysis Sheet

Determine Section 404 applicability (no involvement, NWP, or Individual Permit required). If the project has no involvement with Waters, delete this page from the document. If Waters are involved with the project, refer to ADOT's *Section 404 – 401 Procedures, Applications and Permits web page*²⁷. LPA projects that require Section 404 permits, contact the ADOT EPG Planner. **If an individual permit is required, the CE is non-programmatic. The individual permit may be required prior to the approval of the non-programmatic CE by FHWA, contact the ADOT EPG Planner.**

Section 404 Permit

1. Waters Not Impacted

If Waters are present within the project area, but will not be impacted (e.g., will be avoided by construction), check the applicable box, and include any necessary avoidance mitigation.

2. Impacts to Waters

If the project will impact Waters, check the applicable box. State the location (in MP where possible) where the impacts will occur.

3. Nationwide Section 404 Permit

If a NWP is required, check the applicable box and include the NWP Number where prompted. Determine if a PCN is required, and check the applicable box. If a PCN is required, include the Corps File Number, and ensure that the bolded Special Conditions from the Corps permit verification letter are included in the mitigation measures. For all NWPs, attach all the pages of the Corps permit verification letter to both the environmental clearance and the environmental document.

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Clean Water Act Compliance Analysis Sheet

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3

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Section 404 Permit
☐ Waters are present in the project area, but will not be impacted by the project because:
☐ Fill or dredged material will be placed in Waters of the United States.
 Location: _____
☐ Nationwide Section 404 Permit from Corps required.
 NWP Number: _____
☐ Without a PCN
☐ With a PCN, because:
 Corps File Number: _____
☐ Individual Section 404 Permit required.
 Corps File Number: _____

Section 401 Water Quality Certification
 Jurisdictional waters that will be affected by this project:
☐ Tribal ☐ Outstanding ☐ Impaired ☐ Other
 The Section 401 Certification for the above Section 404 Permit is:
☐ Conditionally Certified ☐ Individually Certified
☐ Project on non-tribal lands.
 Section 401 Water Quality Certification is authorized by ADEQ.
☐ Project on tribal lands.
 Section 401 Water Quality Certification is authorized by EPA.
☐ Project on the Fort Apache Indian Reservation, Section 401 Water Quality Certification is authorized by the White Mountain Apache Tribe.
☐ Project on the Navajo Nation, Section 401 Water Quality Certification is authorized by the Navajo Nation.
☐ Project on the Hopi Reservation, Section 401 Water Quality Certification is authorized by the Hopi Tribe.
☐ Project on the Hualapai Tribe, Section 401 Water Quality Certification is authorized by the Hualapai Tribe.

Mitigation Measures

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²⁷ <http://azdot.gov/business/environmental-services-and-planning/environmental-guidance-documents/section-404-401-procedures>

Checklist Completion Guidelines (CE)

4. Individual Section 404 Permit

If an Individual Section 404 Permit is required, check the applicable box and include the Corps File Number. Ensure that the bolded Special Conditions from the Corps IP letter are included in the mitigation measures. Attach all the pages of the Corps IP to both the environmental clearance and the environmental document. If the project is state-funded and an Individual Permit is required, contact the ADOT EPG Planner for guidance. Section 401 Water Quality Certification is mandatory for any activity that requires a Section 404 permit. A Section 401 Certification is required prior to discharging any dredged or fill materials into a Waters.

5. Type of Impacted Water

Identify if the Waters to be impacted by the project are considered “Tribal”, “Unique”, or “Other” waters and check the applicable box. “Tribal waters” are any Waters occurring on tribal lands. “Unique Waters” are located on non-tribal land and designated by ADEQ.²⁸ “Other Waters” are all Waters on non-tribal lands for which Section 401 Certification has not been specifically denied.

6. Section 401 Certification

Determine the requirements for the Section 401 Certification (i.e., certified, conditionally certified, individually certified). Based on the land jurisdiction of the Waters, check the applicable boxes and include file numbers. Attach Section 401 Certification conditions or individual Section 401 Certifications to the environmental clearance and environmental document and list on the checklist’s Cover Sheet, *Item 5. Enclosed Attachments*.

For projects requiring Individual Certification on non-tribal lands, submit the Section 401 application (hard copy), including Best Management Practices or other measures that are proposed to minimize watercourse impacts, to Robert Scalamera at ADEQ, Mail Stop 5415A-1, 1110 West Washington Street, Phoenix, Arizona, 85007; 602.771.4502; scalamera.robert@azdeq.gov. The documentation should be in the form of a list of conditions. Except for Fort Apache Reservation, Navajo Nation, Hopi Reservation and Hualapai Tribe, for projects requiring Individual Certification on tribal lands, the application is submitted to EPA Region IX, San Francisco Office, Mail Code WTR 8, 75 Hawthorn Street, San Francisco, CA 94105. For projects on the Fort Apache Reservation, Navajo Nation, Hopi Reservation and Hualapai Tribe, contact the tribal representative for 401 Certification. Check “Project on Tribal Lands ...” box for all tribal reservations except Fort Apache, Navajo Nation, Hopi Reservation and Hualapai Tribe.

²⁸ <http://www.azdeq.gov/environ/water/permits/index.html>

Checklist Completion Guidelines (CE)

Clean Water Act Compliance Analysis Sheet (continued)

7. Mitigation Measures

Delete all headings in this section once the applicable mitigation has been selected. The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

Checklist Completion Guidelines (CE)

Clean Water Act Compliance Analysis Sheet (continued)

8. Mitigation: NWP without a PCN

Include these mitigation measures. Insert the NWP number (e.g., 14) in the mitigation. Attach the NWP and Section 401 conditions to the environmental clearance and environmental document, indicating such on the checklist's *Cover Sheet, Item 5. Enclosed Attachments*.

9. Mitigation: Section 404 Permit with PCN

Include these mitigation measures. Add the bolded Special Conditions from the Corps permit verification letter in the mitigation measures. Attach the "Checklist for Environmental Compliance", the NWP and Section 401 Water Quality Certification, general, regional (as applicable), and special conditions to the environmental clearance, and the environmental document, indicating such on the checklist's *Cover Sheet, Item 5. Enclosed Attachments*.

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

8

Section 404 NWP Without PCN

LPA or ADOT District Responsibilities

- Prior to construction, the Engineer will have the contractor review and sign the attached "Checklist for Environmental Compliance." The Engineer will also sign the Checklist and return it to the Arizona Department of Transportation Environmental Planning Group 7 calendar days prior to construction.

Contractor Responsibilities

- Prior to construction, the contractor shall review and sign the attached "Checklist for Environmental Compliance." The Engineer will also sign the Checklist and return it to the Arizona Department of Transportation Environmental Planning Group 7 calendar days prior to construction.
- The contractor shall comply with all terms, general conditions, and special conditions of the attached Section 404 Nationwide Permit Number _____ as established by the US Army Corps of Engineers.
- The contractor shall comply with all terms and conditions of the Section 401 Conditional Water Quality Certification, certified by the Arizona Department of Environmental Quality.
- A copy of the Section 404 permit shall be on the job site at all times during construction.

9

Section 404 NWP With PCN

LPA or ADOT District Responsibilities

- Prior to construction, the Engineer will have the contractor review and sign the attached "Checklist for Environmental Compliance." The Engineer will also sign the Checklist and return it to the Arizona Department of Transportation Environmental Planning Group 7 calendar days prior to construction.
- The Engineer will provide notification, either written or verbal, to the US Corps of Engineers at least one week prior to start of construction, as to the anticipated beginning and ending dates of construction.
- The Engineer will provide a copy of the permit to all construction representatives.
- Upon completion of construction, the Engineer will sign the "Certification of Compliance with the Department of the Army Nationwide Permit" and return it to the US Army Corps of Engineers.

Contractor Responsibilities

- Prior to construction, the contractor shall review and sign the attached "Checklist for Environmental Compliance." The Engineer will also sign the Checklist and return it to the Arizona Department of Transportation Environmental Planning Group 7 calendar days prior to construction.
- The contractor shall comply with all terms, general conditions, and special conditions of the attached Section 404 Nationwide Permit Number _____ as established by the US Army Corps of Engineers.
- The contractor shall comply with all terms and conditions of the Section 401 Conditional Water Quality Certification, certified by the Arizona Department of Environmental Quality.
- The contractor shall comply with all terms, general conditions, and special conditions of the attached Nationwide Permit verification letter, as established by the U S Army Corps of Engineers.
- A copy of the Section 404 Nationwide Permit Number _____ permit shall be on the job site at all times during construction.
- The contractor shall fence, stake, or flag the construction limits for all work within waters of the US.
- All construction activity within the ordinary high water mark shall be confined to the predetermined areas as depicted in the attached Section 404 Nationwide Permit Number _____ impact sheet (Figure _____).

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Checklist Completion Guidelines (CE)

Clean Water Act Compliance Analysis Sheet (continued)

10. Mitigation: Section 404 Individual Permit

Include these mitigation measures. Insert the type of Water Quality Certification and the Certifying Agency. Attach the "Checklist for Environmental Compliance", the IP, Section 401 Water Quality Certification and the Corps impact sheet(s) to the clearance memo, and the environmental document, indicating such on the checklist's *Cover Sheet, Item 5. Enclosed Attachments*.

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Section 404 Individual Permit

[Federal Project No.]
[ADOT Project No.]
[Project Name]

LPA or ADOT District Responsibilities

- Prior to construction, the Engineer will have the contractor review sign the attached "Checklist for Environmental Compliance." The Engineer will also sign the Checklist and return it to the Arizona Department of Transportation Environmental Planning Group 7 calendar days prior to construction.
- The Engineer will sign the "Notification of Commencement of Work" and return it to the US Army Corps of Engineers at least one week prior to start of construction.
- The Engineer will provide a copy of the US Army Corps of Engineers Individual Permit to all construction representatives.
- Upon completion of construction, the Engineer will sign the "Certification of Compliance with the Department of the Army Nationwide Permit" and return it to the US Army Corps of Engineers.

Contractor Responsibilities

- Prior to construction, the contractor shall review and sign the attached "Checklist for Environmental Compliance." The Engineer will also sign the Checklist and return it to the Arizona Department of Transportation Environmental Planning Group 7 calendar days prior to construction.
- The contractor shall comply with all terms, general conditions, and special conditions of the attached Section 404 Individual Permit, as established by the US Army Corps of Engineers.
- The contractor shall comply with all terms and conditions of the Section 401 Individual Water Quality Certification, certified by the
- A copy of the Section 404 Individual Permit shall be on the job site at all times during construction.
- The contractor shall fence, stake, or flag the construction limits for all work within waters of the US.
- All construction activity within the ordinary high water mark shall be confined to the predetermined areas as depicted in the attached Section 404 Individual Permit impact sheet (Figure)

Checklist Completion Guidelines (CE)

Prime or Unique Farmlands Analysis Sheet

Determine if farmland is present within and/or adjacent to the project limits and check the applicable box. If farmland is not located within or adjacent to the project footprint, delete this page from the document.

1. Presence of Farmland

If farmland is present within or adjacent to the project limits, check the applicable box(es).

2. Type of Farmland

Determine if the farmland in the project area is prime, unique, or of statewide or local importance²⁹, by contacting the Natural Resources Conservation Service and applicable State/Local agencies as needed, and check the applicable box. If the farmland within the project area has not been designated as either prime, unique, or of statewide or local importance, or if the farmland is not actually used as agricultural land, no other impact analysis is required on this sheet.

3. Farmland Impacts

Determine the project's impact to farmland. If farmland within the project limits will not be impacted by the project, check the applicable box and explain why there will be no impact and include any necessary avoidance mitigation.

If farmland will be impacted and the project is state-funded, check the applicable box, identify the number of acres impacted, and describe the impacts.

If a federally funded project impacts farmland that has not been committed to currently developed, determine if the project is considered a "corridor-type project," check the applicable box, and complete either the Farmland Conversion Impact Rating form (AD-1006)³⁰ or the Farmland Conversion Impact Rating, Corridors form (NRCS-CPA-106)³¹. Attach the form, as well as instructions for the form, and list the form on the checklist's *Cover Sheet* (refer to *Item 5. Enclosed Attachments*). Insert information regarding the area removed from farming (in acres) and the number of farms that will be impacted by the conversion as applicable.

4. Mitigation Measures

Include all applicable mitigation measures specific to specially designated farmlands. List mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities, Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

²⁹ <http://websoilsurvey.nrcs.usda.gov/app/websoilsurvey.aspx>

³⁰ http://www.nrcs.usda.gov/Internet/FSE_DOCUMENTS/stelprdb1045394.pdf

³¹ <http://www.tn.nrcs.usda.gov/technical/soils/CPA106.pdf>

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Prime or Unique Farmlands Analysis Sheet

1

1. Presence of farmland:
☐ Within the project limits.
☐ Adjacent to the project limits.

2

2. Type of farmland: ☐ prime ☐ unique ☐ statewide importance ☐ local importance
☐ Farmland has no special designation ☐ Farmland is not used for agriculture

3

3. Farmlands not impacted by project.
☐ There is farmland within the project area, but it will be avoided by construction because
☐ There is farmland adjacent to the project area, but all construction activities will be within the existing right-of-way.
 4. Farmlands impacted by project:
 a. State funded projects
☐ _____ acres of farmland will be impacted. Impacts consist of _____
 b. Federally funded projects
☐ Farmland will be impacted; form _____ attached.
☐ _____ acres removed from farming.
☐ _____ farm operation(s) from which land will be acquired.
☐ Farmland will be impacted in a corridor-type project; form _____ attached.
☐ _____ acres removed from farming.
☐ _____ farm operation(s) from which land will be acquired.

4

Mitigation Measures

<http://adot.gov/business/environmental-services-and-planning>

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[Federal Project No.]
[ADOT Project No.]
[Project Name]

Sole Source Aquifer Analysis Sheet

Located in _____

1

☐ Safe Drinking Water Act Section 1424(e) review by the EPA is required.
☐ Project includes rest areas or scenic outlooks that include a sewage disposal station.
☐ Project involves a new or existing well.
☐ FHWA in consultation with EPA determined the project may potentially affect the aquifer through its recharge zone so as to create a significant hazard to public health.
☐ Other FHWA/EPA determination of project review.
☐ EPA review completed. Letter(s) dated _____.

2

☐ Section 1424(e) review by the EPA is not required.
☐ Project is processed as a CE as outlined in 23 CFR Part 771 § 115(b) and § 117.
☐ EPA was notified of the project by FHWA on _____.

3

Mitigation Measures

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Sole Source Aquifer Analysis Sheet

Include this section only if the project is located in Upper Santa Cruz & Avra Basin or Bisbee-Naco sole source aquifer areas. To determine whether the project area is located in a sole source aquifer, refer to the EPA, Region IX, designated sole source aquifer maps, located on the EPA Sole Source Aquifer website³². If the aquifer boundary is still difficult to define, contact the EPA Region IX representative (John Ungvarsky/ ungvarsky.john@epa.gov / 415.972.3963). If the project is not located within a sole source aquifer, delete this page from the document.

1. EPA Safe Drinking Water Act Section 1424(e) review

Refer to the current EPA/FHWA MOU regarding the Sole Source Aquifer review pursuant to *Section 1424(e) of the Safe Drinking Water Act* to determine if an EPA review is required (the ADOT EPG Planner can provide a copy). If the project requires a Section 1424(e) review, check the applicable boxes to indicate why the review was required, summarize the results and include the date of the review. Attach all correspondence from the EPA to the document, and list in the checklist's *Cover Sheet* (refer to *Item 5. Enclosed Attachments*).

2. EPA Notification

If the project does not require a Safe Drinking Water Act Section 1424(e) review by EPA, check the applicable box(es) and contact the ADOT EPG planner. FHWA must notify the EPA of all projects processed as a CE that will not require a Safe Drinking Water Act Section 1424(e) review by EPA. Include the notification date where prompted, attach the notification to the document, and list in the checklist's *Cover Sheet* (refer to *Item 5. Enclosed Attachments*).

3. Mitigation Measures

Include any mitigation measures specific to sole source aquifers, including those required by the ADOT NEPA planer, FHWA, or the EPA. List mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

³² <http://epa.gov/region09/water/groundwater/ssa.html>

| | |
|--|---|
| | [Federal Project No.] [ADOT Project No.] [Project Name] |
| Wild and Scenic Rivers Analysis Sheet | |
| 1 | <input type="checkbox"/> A listed or recommended-for-listing wild and scenic river(s) is (are) in the vicinity of the project. |
| | <input type="checkbox"/> This project will have no effect to the river. |
| 2 | <input type="checkbox"/> The project will affect, but will not adversely affect the river. The work for this project includes _____ . Because the work will not result in a destruction or alteration of all or part of the free flowing nature of the river; introduce visual, audible, or other sensory intrusions which are out of character with the river or its setting; result in the deterioration of water quality; or require a transfer or sale of property adjacent to the river, the work will not negatively affect or downgrade the natural, cultural, and recreational values associated with the suitability of this segment of the for inclusion in the Wild and Scenic River System. The _____ concurred that the project will not adversely affect the on _____ |
| | |
| 3 | Mitigation Measures <hr/> |
| | |

Determine if a Wild and/or Scenic River³³ is present in the vicinity of the project area, and is (a) recommended for listing, or (b) designated. If the project is not in the vicinity of a wild and scenic river (or a recommended wild and scenic river), delete this page from the document. Publicly owned waters of designated wild and scenic rivers are Section 4(f) resources. **If the project involves construction in, across, or adjacent to a river designated or proposed for inclusion in the National System of Wild and Scenic rivers, the CE is non-programmatic.**

If a designated wild and scenic river, or a river recommended for listing, occurs within the project area, insert the name of the river.

Determine if the project will have an affect to the river. If the project will not impact the river, check the applicable box and either include mitigation for avoidance, or include an explanation of why the river will not be impacted.

If the project will affect the river, determine if the project will have an adverse effect on the river as outlined in *Guide for Identifying Potential Adverse Effects*.³⁴ If the project could adversely affect a river designated—or recommended for designation—to the Wild and Scenic River System, contact the ADOT EPG Planner immediately to determine whether a CE is the applicable level of NEPA documentation. Coordinate with the agency responsible for managing the river. After coordination is complete, describe the potential impacts to the river, explain why the effects are not adverse, and include information on the agency coordination/concurrence (e.g., NPS) with the effect determination.

Mitigation to minimize effects to rivers designated—or recommended for designation—to the Wild and Scenic River System must be developed in coordination with ADOT, FHWA (as applicable), and the agency responsible for managing the river prior to submittal of the environmental document. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

34 <http://environment.fhwa.dot.gov/guidebook/vol1/doc15c.pdf>

Checklist Completion Guidelines (CE)

Navigable Waters Analysis Sheet

Determine if the project involves a navigable water (i.e., the Colorado River); if the project does not involve navigable water(s), delete this page. **If a USCG permit is required, the CE is non-programmatic.**

1. USCG Permit

Contact District 11 (David Sulouff/David.H.Sulouff@uscg.mil)³⁵ of the USCG as part of the project agency scoping. Once the coordination is complete, check the “Coordination with USCG” box, and enter the date of the consultation. Documentation of consultation should be attached to the document and listed in the checklist’s *Cover Sheet* (refer to *Item 5. Enclosed Attachments*).

In consultation with the USCG, determine if a USCG permit is required, check the applicable box, and include permit information or explain why the permit is not required. Also include mitigation required to preclude the need for a USCG permit, or as a condition of the permit.

2. Corps Permit

If the project involves a navigable water, contact the Corps as part of the project agency scoping. Once the coordination is complete, check the “Coordination with Corps” box, and enter the date of the consultation. Documentation of consultation should be attached to the document and listed in the checklist’s *Cover Sheet* (refer to *Item 5. Enclosed Attachments*).

In consultation with the Corps, determine if a Corps permit is required, check the applicable box, and include permit information or explain why the permit is not required. Also include mitigation required to preclude the need for a Corps permit, or as a condition of the permit. Refer to the *Clean Water Act Analysis Sheet* as applicable.

3. Mitigation Measures

Mitigation must be developed in cooperation with ADOT, FHWA, USCG, and the Corps—as applicable—prior to submittal of the environmental document. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

1

☐ Coordination with USCG: Date
☐ USCG permit required
☐ USCG permit not required

2

☐ Coordination with Corps: Date
☐ Corps permit required
☐ Corps permit not required

3

Mitigation Measures

Federal Project No.]
ADOT Project No.]
Project Name]

http://azdot.gov/business/environmental-services-and-planning 25 August 2013

³⁵ http://www.uscg.mil/hq/cg5/cg551/District_Page.asp
[http://www.uscg.mil/hq/cg5/cg551/INTRODUCTION%20TO%20COAST%20GUARD%20BRIDGE%20PERMITTING\(rev2_final\).pdf](http://www.uscg.mil/hq/cg5/cg551/INTRODUCTION%20TO%20COAST%20GUARD%20BRIDGE%20PERMITTING(rev2_final).pdf)

Checklist Completion Guidelines (CE)

Archaeological Resources and Historic Properties Analysis Sheet

Refer to the Section 106 consultation letter(s) and/or ADOT in-house memo. If no prehistoric or historic resources are present within the project's area of potential effect, attach the concurrence letter to checklist's *Cover Sheet* (refer to *Item 5. Enclosed Attachments*); cite the report in the *Environmental Impact Summary Sheet*, and delete this page from the document. All projects involving modifications to historic buildings or structures must comply with the *Secretary of the Interior Standards for the Rehabilitation of Historic Structures*, which is available from SHPO³⁶. **If an MOA is required, or there is a determination of "adverse effect," the CE is non-programmatic.**

1. Survey Data

State if the project limits have been surveyed; include the title, date, and author of the survey report in the following format: *A Cultural Resource Survey of US 60 from Apache Junction to Florence Junction, in Pinal County, Arizona* (Grafil 2000).

2. Archaeological/Historic Sites

List sites present in the project area of potential effect in bullet format with a brief description of each site (e.g., *a historic road alignment*). If sites are eligible under criterion A, B, or C, include the location of the sites. **Do not include specific location information for sites eligible under criterion D. If a site is eligible under more than one criterion, and criterion D is one of them, do not include specific site information.**

3. THPO/SHPO Eligibility Determination

Refer to the Section 106 consultation letter(s) and identify site eligibility. List each site in its own row in the first column of the table. Include the site number for prehistoric sites and sites eligible under criterion D. Include the site number for historic sites eligible under criterion A, B, or C if a site number is assigned. Put an asterisk in the "ARHP/NRHP-Status" column, insert one of the following: *Listed*, *Eligible*, *Not Determined*, or *Ineligible*. In the "Criterion" column, list the applicable criterion by including A, B, C, or D—if a site has been determined *Ineligible* state *N/A* in the Criterion column. Add rows to the table as needed.

4. Agency Concurrence of Effect

Refer to the Section 106 consultation letter(s), and check the applicable box corresponding to the Agency concurrence of project effect.

5. Agency Consultation Date(s)

For each agency that was consulted during the Section 106 process, check the applicable box, insert the date of concurrence (i.e., signature date), attach the

Federal Project No. [_____]

 ADOT Project No. [_____]

 Project Name [_____]

Archaeological Resources and Historic Properties Analysis Sheet

1
2
3
4
5
6
7

1. Survey Data
 ()

2. Archaeological/Historic Sites

3. THPO/SHPO Eligibility Determination

| Site | ARHP/NRHP-Status | Criterion |
|------|------------------|-----------|
| | | |
| | | |
| | | |
| | | |

Criterion A: Associated with events that have made a significant contribution to the broad patterns of our history.
 Criterion B: Associated with the lives of persons significant in our past.
 Criterion C: Embodies the distinctive characteristics of a type, period, or method of construction, or that represents the work of a master, or that possesses high artistic values, or that represents a significant and distinguishable entity whose components may lack individual distinction.
 Criterion D: Yielded, or may be likely to yield, information important in prehistory or history.

Agency concurrence of effect:

☐ No potential to effect
 ☐ No historic properties affected
 ☐ No adverse effect
 ☐ Adverse effect

Agency consultation date(s):

☐ BLM
 ☐ Reclamation
 ☐ USDA Forest Service
 ☐ THPO
 ☐ Tribe(s)
 ☐ ASLD
 ☐ SHPO
 ☐ Other

Mitigation Measures

6. District Responsibilities

- If previously unidentified cultural resources are encountered during activity related to the construction of the project, the contractor shall stop work immediately at that location and shall take all reasonable steps to secure the preservation of those resources. The ADOT Engineer will contact the ADOT Environmental Planning Group, Historic Preservation Team, at 602.712.8636 or 602.712.7767 immediately, and make arrangements for proper treatment of those resources.

7. Railroad Responsibilities

- If previously unidentified cultural resources are identified during construction, work will cease at that location and the railroad will arrange for proper treatment of these resources.

http://azdot.gov/business/environmental-services-and-planning
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³⁶ <http://azstateparks.com/SHPO/index.html>

Checklist Completion Guidelines (CE)

Archaeological Resources and Historic Properties Analysis Sheet (continued)

concurrence letter on the *Cover Sheet* (refer to *Item 5. Enclosed Attachments*). If the agencies draft their own concurrence letter, attach to the original letter that was not signed. If an agency did not respond, list the agency name and indicate no response.

6 – 7. Mitigation Measures

Include project specific mitigation here. List mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*. If the documentation is not for a Railroad Project delete *Item 7*. If the documentation is for a Railroad Project insert the name of the Railroad in *Item 7*.

Please note: For Local Public Agency projects that will be self-administered, please contact the ADOT EPG Planner for guidance regarding mitigation measures to be listed in the CE Checklist and clearance memo.

Checklist Completion Guidelines (CE)

Section 4(f) Resources Analysis Sheet

Complete a *Section 4(f) Resources Analysis Sheet* for each Section 4(f) resource within ¼ mile of project area. Contact the ADOT EPG Planner prior to proceeding with the Section 4(f) analysis and on any 4(f) determination conclusions.

1. Section 4(f) resource

Include the name, location (MP, street intersection, etc.), and the ownership/administration of the Section 4(f) resource where prompted. Under “Type”, check the applicable box(es); if checking “other,” include a description. Include a separate map showing the Section 4(f) properties, if they can’t be easily shown on the Project Vicinity Map. Also include a statement that such Section 4(f) map follows these 4(f) sheets.

2. Actual or Constructive Use

Based on the definitions of use outlined in 23 CFR § 774, determine if the project will result in an actual (direct) or constructive (proximity impacts) use of the Section 4(f) resource; check the applicable box.

3. Temporary Occupancy

If the project will require a temporary occupancy of a Section 4(f) resource but does not result in the “use” of the resource because the conditions set forth under 23 CFR 774 are met, check the box. Also include the name of the official(s) having jurisdiction over the resource, and attach the documented agreement regarding the Section 4(f) resource. Include the attachment with the document, and list on the checklist’s *Cover Sheet* (refer to *Item 5. Enclosed Attachments*).

4. Joint Planning

Determine if the project and the Section 4(f) resource were jointly planned. If there is no “use” of the Section 4(f) resource due to joint development, check the box and completely document all measures that have been taken to jointly develop the project and the resource.

5. No Historic Properties Affected/No Adverse Effect

If the project has been determined to have “no historic properties affected” or “no adverse effect” on a Section 4(f) resource listed in, or eligible for listing in the NRHP, check the box and attach the letter(s) of concurrence from SHPO/THPO/land managing agency. Include the attachment with the document, and list on the checklist’s *Cover Sheet* (refer to *Item 5. Enclosed Attachments*).

6. De Minimis

De minimis impacts are defined as those that do not “adversely affect the activities, features, and attributes” of the Section 4(f) resource. Also include the name of the official(s) having jurisdiction over the resource, and attach the documented agreement

Section 4(f) Resources Analysis Sheet

[Federal Project No.]
[ADOT Project No.]
[Project Name]

Section 4(f) property name:

Location: (see attached vicinity map ☐ -or- see attached 4(f) maps ☐)

Ownership or administration:

Type:

- ☐ public park ☐ wildlife refuge ☐ historic site
☐ recreational lands ☐ waterfowl refuge

A “use” of a Section 4(f) resource, as defined in 23 CFR § 774, occurs: 1) when land is permanently incorporated into a transportation facility; 2) when there is a temporary occupancy of land that is adverse in terms of the state’s preservation purposes; or 3) when there is a constructive use of land. A constructive use of a Section 4(f) resource occurs when the transportation project does not incorporate land from resources, but the project’s proximity impacts are so severe that the protected activities, features, or attributes that qualify a resource for protection under Section 4(f) are substantially impaired. For example, a constructive use can occur when:

- the projected noise level increase, attributable to the project, substantially interferes with the use and enjoyment of a noise-sensitive facility of a resource protected by Section 4(f);
- the proximity of the proposed project substantially impairs aesthetic features or attributes of a resource protected by Section 4(f), where such features or attributes are considered important contributing elements to the value of the resource. An example of such an effect would be the location of a proposed transportation facility in such proximity that it obstructs or eliminates the primary views of an architecturally significant historical building, or substantially detracts from the setting of a park or historic site which derives its value in substantial part due to its setting; and / or
- the project results in a restriction on access, which substantially diminishes the utility of a significant publicly-owned park, recreation area, or historic site.

☐ There is no actual (direct) use of this Section 4(f) resource.

☐ The project will not result in a constructive use of this Section 4(f) resource.

☐ There is a temporary occupancy of land that is minimal; therefore, there is no “use” of land (no adverse impact to existing or future land use) as defined in 23 CFR § 774. The documented agreement by _____ is attached.

☐ The project and the Section 4(f) resource are concurrently planned or developed. The documented agreement between ADOT and _____ is attached.

☐ There is a “no historic properties affected” or “no adverse effect” determination on a site listed in or eligible for listing in the NRHP. Refer to attached letter of concurrence from _____.

☐ A *de minimis* determination is appropriate. Refer to attached letter(s) of concurrence from _____.

☐ There is a minor use of a public park, recreation land, or wildlife/waterfowl refuge. Refer to attached letter(s) of concurrence from _____.

☐ The project will result in a net benefit to the Section 4(f) resource. Refer to attached letter(s) of concurrence from _____.

Checklist Completion Guidelines (CE)

regarding the Section 4(f) resource. Include the attachment with the document, and list on the checklist's *Cover Sheet* (refer to *Item 5. Enclosed Attachments*).

7. Minor Use/Net Benefit

If the project requires the minor use of, or is a betterment to, a Section 4(f) resource, investigate if a Nationwide Section 4(f) Programmatic Evaluation applies³⁷. Contact the ADOT EPG Planner. If one of the programmatic evaluations may apply, check the applicable box and include a comprehensive discussion of the minor use or net benefit relative to the applicable programmatic agreement. The Section 4(f) discussion must be thorough, clearly document the items that have been reviewed, and provide the FHWA Division Administrator sufficient information and documentation to determine if a Nationwide Section 4(f) Programmatic Evaluation applies. Also include in the documentation a concurrence letter from the agency having jurisdiction over the 4(f) resource, and if there were any public meetings.

³⁷ <http://environment.fhwa.dot.gov/guidebook/chapters/v2ch15.asp>

Checklist Completion Guidelines (CE)

Section 4(f) Resources Analysis Sheet (continued)

8. Independent Bikeway/Walkway

If the project is the construction of an independent bikeway/walkway that requires the use of a Section 4(f) recreation/park area, coordinate with the official having specific jurisdiction over the Section 4(f) resource. If the official provides written approval that the project is acceptable and consistent with the designated use of the property, and that all possible planning to minimize harm to the resource has been accomplished, check the box, insert the title and department of the official, and attach the written documentation. List the correspondence on the checklist's *Cover Sheet* (refer to *Item 5. Enclosed Attachments*). Note: the negative declaration does not apply to projects that use land from a publicly owned wildlife or waterfowl refuge or any land from a historic site of national, state, or local significance; that require the use of critical habitat of endangered species; that include unusual circumstances (major impacts, adverse effects, or controversy); or that cover bicycle or pedestrian facilities that are incidental items of construction in conjunction with highway improvements having the primary purpose of serving motor vehicular traffic.

9. Actual/Direct Use Requiring a Non-Programmatic Evaluation

If the project requires the use of a Section 4(f) resource, and the Nationwide Section 4(f) Programmatic Agreements do not apply, check the box and contact ADOT EPG Planner and FHWA.

10. Mitigation Measures/Measures to Minimize Harm

Text must be coordinated with applicable officials having jurisdiction over the resource prior to submittal to ADOT/FHWA. If the Section 4(f) resource received Section 6(f) funds for development, mitigation measures may be constrained under Section 6(f) requirements.

List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

| | | |
|----|---|---|
| | | Federal Project No.] [ADOT Project No.] [Project Name] |
| 7 | <input type="checkbox"/> | There is a minor use of a historic site. |
| | <input type="checkbox"/> | There is a minor use of a historic bridge. |
| 8 | <input type="checkbox"/> | The project will construct an independent bikeway or walkway that requires use of a Section 4(f) park or recreation area. The documented approval by _____ is attached. In accordance with the FHWA memorandum (May 23, 1977), "Final Negative Declaration/Section 4(f) Statement for Independent Bikeway or Walkway Construction Projects," no individual Section 4(f) evaluation is required. |
| 9 | <input type="checkbox"/> | There is an actual or direct use or constructive use of a Section 4(f) resource that does not meet the requirements of a programmatic Section 4(f) evaluation. |
| 10 | Mitigation Measures/Measures to Minimize Harm | |

Checklist Completion Guidelines (CE)

Section 6(f) Resources Analysis Sheet

Determine if the project involves outdoor recreation lands acquired or developed with Section 6(f) funds.³⁸ Complete a separate 6(f) page for each Section 6(f) resource in the project area. If there is no Section 6(f) involvement, delete this page from the document.

1. Section 6(f) Resource

Include the name, type, location (MP or intersection), and ownership/administration for the Section 6(f) resource.

2. Section 6(f) Involvement

Determine if the property was acquired and/or developed with Section 6(f) funds, and check the applicable boxes.

3. Use of Section 6(f) Resource

If the project will impact the Section 6(f) resource but will not result in the conversion of lands acquired/developed with Section 6(f) funding to non-recreational purposes, check the box and include a brief explanation.

If the project will require the conversion of property acquired or developed with Section 6(f) funding to a non-recreational purpose, replacement land must be identified for transfer to the land managing agency. Contact the ADOT EPG Planner for additional guidance prior to proceeding. Check the applicable boxes and attach the written concurrence from the land-managing agency and the NPS that the replacement lands are of equal value, location, and usefulness as the impacted lands.

4. Mitigation Measures

If the project will require the conversion of property acquired or developed with Section 6(f) funding to a non-recreational purpose, land transfer mitigation must be included. Text must be coordinated with applicable officials having jurisdiction over the resource (including NPS) prior to submittal to ADOT/FHWA.

List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

1

2

3

4

Federal Project No.]
[ADOT Project No.]
[Project Name]

Section 6(f) of the Land and Water Conservation Funds Act Analysis Sheet

Property name:
Property type:
Location:
Ownership or administration:
☐ No conversion of Section 6(f) property lands.
☐ Property acquired with Section 6(f) funds.
☐ Property developed with Section 6(f) funds.
☐ Conversion of Section 6(f) property lands to a non-recreational purpose.
☐ Is the political jurisdiction in question willing to relinquish the property and accept the proposed replacement property?
☐ The political jurisdiction and the NPS have provided written approval of the land transfer.

Mitigation Measures

<http://adot.gov/business/environmental-services-and-planning> 29 August 2013

³⁸ <http://waso-lwcf.ncrc.nps.gov/public/index.cfm>

Visual Resources Analysis Sheet

1. Change in Visual Character

2. Designated Scenic Road/Byway

3. Compliance with Visual Resource Management Objectives

4. Mitigation Measures

List mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

³⁹ <http://azdot.gov/about/scenic-roads>

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Checklist Completion Guidelines (CE)

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Socioeconomic Impacts Analysis Sheet

1

1. Residential/Commercial Development and Displacement(s)

Displacements required:

☐ No

☐ Yes

- Type
- Number
- Location

Known planned development(s) impacted:

☐ No

☐ Yes

- Type
- Location

2

2. Temporary and Permanent Access

☐ Temporary access impacts.

☐ Permanent access impacts.

3

3. Neighborhood Continuity and Community Cohesion

☐ No impacts

☐ Temporary impacts.

☐ Permanent impacts.

4

Mitigation Measures

District Responsibilities

- Access to adjacent businesses and residences shall be maintained throughout construction.

Contractor Responsibilities

- Access to adjacent businesses and residences shall be maintained throughout construction.

<http://adot.gov/business/environmental-services-and-planning>

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Socioeconomic Impacts Analysis Sheet

If the project will not impact residential/commercial development, will not require displacement(s), and will have no temporary and/or permanent impacts to access or neighborhood continuity/community cohesion (including pedestrian and vehicular access, traffic patterns, etc.) provide a brief explanation in the Comment column on the *Environmental Impact Summary Sheet*, and do not include this page in the document. If new right-of-way is required, FHWA must concur early in the planning process that the acquisition is "minor," and that a CE is the appropriate level of NEPA documentation. Contact the ADOT EPG Planner for guidance. **If the acquisition is not considered "minor," the CE is non-programmatic. If the project requires commercial or residential displacements, the CE is non-programmatic.**

1. Residential/Commercial Development and Displacement(s)

Determine if displacements are required and check the applicable box. If displacements are required, include the type (e.g., single family home; commercial business); number (in terms of property owners and units as applicable); and location (e.g., east of US 60 at milepost 358.5). Include other pertinent information as needed.

Consult applicable general plans and other municipal planning documents. Determine if the project will impact planned developments, and check the applicable box. If impacts will occur, include information on the type and location of the developments to be impacted.

2. Temporary and Permanent Access

Determine if the project will result in temporary or permanent impacts to access. This may include access changes, sidewalk closures, parking restrictions, temporary driveway closures, etc. The impacts could include non-vehicular access, such as pedestrians, and impacts to special events, such as fairs and parades. If the project will result in access impacts, determine if they are temporary and/or permanent, check the applicable boxes, and include a discussion regarding the impacts.

3. Neighborhood Continuity and Community Cohesion

Determine if the project will have any impact to neighborhood continuity/community cohesion. Impacts may include bisecting neighborhoods and restricting access to local community features/sites. If impacts have been identified, determine if the impacts are temporary and/or permanent and include a brief explanation of the impacts as well as any applicable mitigation. Note: neighborhoods/communities are not limited to residential areas and can be commercial communities as well.

4. Mitigation Measures

Include all mitigation measures specific to socioeconomic impacts. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

Checklist Completion Guidelines (CE)

Title VI/Environmental Justice Analysis Sheet

Determine if any temporary, adverse, or permanent effects on any businesses, residents, or landowners will occur as a result of this project. If the project will have no effects, delete this page from the document. This could include effects to access, relocations, and neighborhood continuity. If effects will occur, determine if there are any protected populations. These populations include:

- Minorities – refer to census tables for correct categories
- Low-income –population whose median household income is at or below the US Department of Health and Human Services poverty guidelines
- Age, gender, and disability

To determine if any of the above populations are present in the project area, determine the census tract and block groups for the project area, which can be found on the US Census website⁴⁰. Once census tracts and block groups have been determined, data for the geographic areas will need to be obtained. Summary Tape File 3 data is preferred for the analysis of the project area, and is located on the US Census Bureau website⁴¹. Once on the website, obtain detailed tables for the P1, P6, P7, P8, P10, P42, and P87 datasets. Add this data to Tables 1 and 2.

Other websites to investigate for Title VI information include the Arizona Department of Economic Security⁴², the US Department of Health and Human Services⁴³, and the FHWA – Environmental Justice.⁴⁴

1. Temporary/Permanent Effects

Discuss the project's temporary and permanent impacts on any businesses, residents, or landowners.

2. New Right-of-way/Easements

Check the applicable boxes and provide the total acreage of new right-of-way or easements.

3. Affected Protected Populations

Check the applicable boxes for any protected populations that will be impacted by the project.

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Title VI/Environmental Justice Analysis Sheet

"Title VI of the Civil Rights Act of 1964" and related statutes (including state-level EPG "Guidance on Title VI and Environmental Justice") assure that individuals are not excluded from participation in, denied the benefit of, or subjected to discrimination under any program or activity receiving federal financial assistance on the basis of race, color, national origin, age, sex, and disability. "Executive Order 12896" on environmental justice, dated February 11, 1994, directs that programs, policies, and activities not have a disproportionately high and adverse human health or environmental effect on minority and low-income populations.

- 1 Effects on any businesses, residents, or landowners as a result of this project.

Temporary ☐
- 2

Permanent ☐

☐ New ROW (acres)
☐ New easement (acres)
- 3 The following populations are affected by the project. (See attached tables.)

☐ Disabled
☐ Elderly
☐ Low-income population
☐ Female Head of Household

Races and ethnicity:
☐ African American ☐ Hispanic ☐ Native Hawaiian or Pacific Islander
☐ Asian ☐ American Indian and Alaska Native ☐ Some other race
☐ Two or more races
- 4 ☐ Identified effects are proportionate to those experienced by the general population.
- 5 ☐ Identified effects are disproportionately high and adverse on protected populations.

Mitigation Measures

- 6

<http://adot.gov/business/environmental-services-and-planning>

⁴⁰ <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>

⁴¹ <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>

⁴² <https://www.azdes.gov/>

⁴³ <http://aspe.hhs.gov/poverty/06poverty.shtml>

⁴⁴ <http://www.fhwa.dot.gov/environment/ej2.htm>

Checklist Completion Guidelines (CE)

Title VI/Environmental Justice Analysis Sheet (continued)

4. Proportionate Effects

Identify whether the impacts of the project will be proportionate to those experienced by the general population⁴⁵. Include a brief statement explaining why the effects are proportionate.

5. Disproportionate Effects

Identify any disproportionate effects (including discriminatory effects). If disproportionate effects will result from the project, refer to the EPG “Guidance on Title VI and Environmental Justice” on the EPG Web site⁴⁶. Contact the ADOT EPG Planner for guidance. Present a full analysis of the effects and all mitigation measures.

6. Mitigation Measures

Include all applicable mitigation measures specific to Title VI/Environmental Justice. List mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

⁴⁵ http://www.fhwa.dot.gov/environment/environmental_justice/

⁴⁶ <http://www.azdot.gov/business/environmental-services-and-planning/environmental-guidance-documents/nepa-planning-guidance>

Checklist Completion Guidelines (CE)

US Census Data Analysis Sheet

For each of the following tables, include information from each census tract and block group that crosses the project limits. Include information from the City and County that the project area is located in as comparative geographies. Shade any cell for which the percentage of a given category is higher than the comparative geography.

1. Table 1: 2010 Racial and ethnic demographics

Enter data obtained from the 2010 Census.⁴⁷

2. Table 2: 2010 Total Minority, Age 60 Years and Over, Below Poverty Level, Disabled, and Female Head of Household populations

Enter data obtained from the 2010 Census.

US Census Data

[Federal Project No.]
[ADOT Project No.]
[Project Name]

Table 1. 2010 Racial and ethnic demographics

| Area | Total population | White | | African American | | Native American | | Asian | | Pacific Islander | | Other race | | Two or more races | | Hispanic ^a | |
|---------------|------------------|-------|---|------------------|---|-----------------|---|-------|---|------------------|---|------------|---|-------------------|---|-----------------------|---|
| | | # | % | # | % | # | % | # | % | # | % | # | % | # | % | # | % |
| CT [] BG [] | | | | | | | | | | | | | | | | | |
| [] | | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | | |
| Total Tracts | | | | | | | | | | | | | | | | | |
| (City) | | | | | | | | | | | | | | | | | |
| (County) | | | | | | | | | | | | | | | | | |

Source: US Department of Commerce, Bureau of the Census, Census 2010, Summary File 3.
Note: See table notes for Table 2, below.

^a "Hispanic" refers to ethnicity and is derived from the total population, not as a separate race; i.e., it is calculated differently from the other columns in this table.

Table 2. 2010 Total Minority, Age 60 Years and Over, Below Poverty Level, Disabled, and Female Head of Household populations

| Area | Total population | Total Minority ^a | | Age 60 years and over | | Total population for whom disabled is determined | | Disabled | | Total population for whom poverty is determined | | Below poverty level | | Households | Female Head of Household | |
|--------------|------------------|-----------------------------|---|-----------------------|---|--|---|----------|---|---|---|---------------------|---|------------|--------------------------|---|
| | | # | % | # | % | # | % | # | % | # | % | # | % | | # | % |
| CT BG | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | |
| CT BG | | | | | | | | | | | | | | | | |
| Total Tracts | | | | | | | | | | | | | | | | |
| (City) | | | | | | | | | | | | | | | | |
| (County) | | | | | | | | | | | | | | | | |

Source: US Department of Commerce, Bureau of the Census, Census 2010, Summary File 3.
Notes: CT = Census Tract, BG = Block Group, # = Number, % = Percentage.
^a "Total Minority" is composed of all people who consider themselves Non-White racially plus those who consider themselves Little Hispanic.

Shaded areas denote percentages notably higher than comparison areas' percentages.

⁴⁷ <http://factfinder2.census.gov/faces/nav/jsf/pages/index.xhtml>

Checklist Completion Guidelines (CE)

Construction-Related Impacts Analysis Sheet

Determine if the project will result in any construction-related impacts such as lane closures, detours, or dust abatement requirements. If the project will not have construction-related impacts, do not include this page in the document and briefly explain why there are no impacts in the Comment field on the *Environmental Impact Summary* sheet. **Refer to the *Arizona Programmatic Categorical Exclusion Approval* for programmatic requirements for temporary roads, detours, or ramp closures.**⁴⁸

1. Traffic Control Measures

Briefly describe construction-related traffic impacts, and traffic control measures required to minimize impacts for construction. The applicable ADOT Construction District must be provided any traffic control or other construction-related mitigation for review.

2. Detours

If a detour is necessary, it must be included in the footprint of environmental surveys and environmental analyses, and be included in socioeconomic impact analyses as well. Explain the location of detours, adding maps as needed to illustrate the location. If a detour map is included, it should go immediately after the state and vicinity maps. If detours will be required within an air quality non-attainment or maintenance area, coordinate with the ADOT EPG Noise and Air Team.

3. Other

If needed, check the box and briefly describe other construction-related impacts and identify applicable mitigation.

4. Mitigation Measures

Include all applicable mitigation measures specific to construction-related impacts. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*. The applicable ADOT Construction District must be provided any traffic control or other construction-related mitigation for review.

If the public/adjacent property owners will be provided notification prior to construction, identify the responsible party (e.g., the Contractor) and include the mitigation here. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities and on other analysis sheets as applicable). The mitigation should also be placed in the environmental clearance, and on the *Mitigation Measures Sheet*.

⁴⁸ <http://www.azdot.gov/docs/planning/arizona-programmatic-categorical-exclusion-approval-guidance.pdf?sfvrsn=0>

[Federal Project No.]
[ADOT Project No.]
[Project Name]

Construction-Related Impacts Analysis Sheet

1

2

3

4

☐ Traffic control measures required.

☐ Detours necessary.

☐ Other.

Traffic control will be in accordance with the most current *Manual on Uniform Traffic Control Devices for Streets and Highways*, published by the US Department of Transportation, Federal Highway Administration, including any revisions or additions, and/or associated provisions in the project plans, as determined by:

☐ The ADOT Traffic Design Section during design.

☐ The _____ during the certification acceptance or self-bid and administer process.

Mitigation Measures

Contractor Responsibilities

- Access to adjacent businesses and residences shall be maintained throughout construction.

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Checklist Completion Guidelines (CE)

Utilities Analysis Sheet

Refer to the project Design Concept Report, Project Assessment, or project plans to determine if utilities are located within the project area or will be affected by the project. Verify utility involvement with the project designer/manager.

1. Utilities Present

Insert the name and a short description of all utilities present within the project area (e.g., UniSource Energy Services natural gas pipeline; Qwest telephone line).

2. No Utility Work

Check the box if utilities are present but are not anticipated to be affected by the project.

3. Utility Involvement

Check the box if the project will require utility involvement. Check the applicable box of the type of work involved. If other, provide a brief statement of the type of work. Check the applicable box for who will be performing the utility work. If it is unknown who will do the work, check Other and provide a brief explanation. Any utility installation or relocation footprint must be covered in clearance. If customers will be affected by the utility work, provide the number of days in advance customers will be notified and who will provide notification, if applicable or use the following: The ADOT Utility and Railroad Engineering Section or the LPA administering the project will investigate utility involvement.

For each of the categories, include the name of the applicable utility for each respective type of work, performer of the work, notification responsibility in bullet or numbered format below the checked box. For example:

- ☒ Type of work involved:
- ☒ Relocation (area subject to relocation needs to be cleared)
 1. SRP
 2. Qwest
 - ☒ The work will be performed by:

| | | |
|--|--|--|
| <input checked="" type="checkbox"/> ADOT | <input checked="" type="checkbox"/> Contractor | <input type="checkbox"/> Utility Company |
| 1. SRP | 2. Qwest | |

4. Railroad Project

For Railroad Projects: check the box and insert the name of the railroad company. If utilities are not present in the project area and the project does not involve a railroad, delete this page from the document.

Federal Project No. _____
 ADOT Project No. _____
 Project Name _____

Utilities Analysis Sheet

1 | Utilities present:

2 | ☐ Utility work is not anticipated.

2 | ☐ Utilities are involved with the project.

3 | ☐ Type of work involved:

| | | |
|-------------------------------------|---|--------------------------------|
| <input type="checkbox"/> Relocation | <input type="checkbox"/> Temporary disconnection of service | <input type="checkbox"/> Other |
| • | • | • |
| • | • | • |

3 | ☐ The work will be performed by:

| | | | |
|-------------------------------|-------------------------------------|--|--------------------------------|
| <input type="checkbox"/> ADOT | <input type="checkbox"/> Contractor | <input type="checkbox"/> Utility company | <input type="checkbox"/> Other |
| • | • | • | • |
| • | • | • | • |

3 | ☐ The utility customers affected by utility work will be notified _____ days prior to the start of construction by:

| | | | |
|-------------------------------|-------------------------------------|--|---|
| <input type="checkbox"/> ADOT | <input type="checkbox"/> Contractor | <input type="checkbox"/> Utility company | <input type="checkbox"/> To be determined |
| • | • | • | • |
| • | • | • | • |

4 | ☐ No utility work is anticipated as part of this railroad project; however _____ will investigate utility involvement during the project design phase.

5 | **Mitigation Measures**

5 | Railroad Responsibilities

6 | ☐ If previously unidentified cultural resources are identified during construction, work will cease at that location and the _____ will arrange for proper treatment of these resources.

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Checklist Completion Guidelines (CE)

Utilities Analysis Sheet (continued)

5 - 6. Mitigation Measures

Include all applicable mitigation measures specific to utilities. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*. If the documentation is for a Railroad Project do not delete the mitigation. Include the Railroad name in *Item 6*; otherwise delete the mitigation.

Checklist Completion Guidelines (CE)

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

Hazardous Materials Evaluation Analysis Sheet

| | |
|---|---|
| 1 | <input type="checkbox"/> Load-bearing structures will be modified or altered on the project. Date asbestos survey completed: Findings: <input type="checkbox"/> NESHAP notification required. |
| 2 | <input type="checkbox"/> Work will occur on existing structures that have been previously painted. Date test for RCRA metals or Lead completed: Findings: <input type="checkbox"/> Paint stripping will be obliterated. Date test for RCRA metals or Lead completed: Findings: |
| 3 | <input type="checkbox"/> Records check of ADEQ and EPA databases was conducted. Date completed: Findings: |
| 4 | <input type="checkbox"/> Tribe(s) was (were) contacted regarding its (their) records. Date completed: Findings: |
| 5 | <input type="checkbox"/> PISA was conducted. Date completed: Date approved: Findings: |
| 6 | <input type="checkbox"/> Phase I study was conducted. Date completed: Findings: |
| 7 | Findings of hazardous materials assessment: |

8 Mitigation Measures

Design Responsibilities

- The Department project manager will contact the Department Hazardous Materials Coordinator (602.920.3882 or 602.712.7767) 30 days prior to bid advertisement to determine the need for additional site assessment.

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Hazardous Materials Evaluation Analysis Sheet

Per the 2010 EPA/ADOT Asbestos Consent Decree, an asbestos assessment will be required for any load-bearing structures (e.g., bridges; buildings) that will be modified or altered as a result of the project. If the project involves any work on an existing structure that has been previously painted, a test for RCRA metals will be required. For each of the fields, summarize the recommendation of the investigations. **If there are any known hazardous materials sites or previous land uses with potential for hazardous materials remaining within the right-of-way, the CE is non-programmatic.**

1. NESHAP

Check the box if load-bearing structures will be modified or altered by the project. Provide the date and findings of the asbestos survey. Determine if a NESHAP permit is required;⁴⁹ if the permit is required, check the applicable box and state applicable mitigation measures as applicable.

2. RCRA METALS

Check the box if work will occur on existing structures that have been previously painted. Provide the date and findings (including any applicable mitigation measures) of the RCRA metals (e.g., lead) survey.

3. ADEQ and EPA Records Check

Check the box if a records check of ADEQ and EPA databases was conducted. Provide the date and findings (including any applicable mitigation measures) of the records check. In the findings field, indicate the recommendation of the records check, do not list all items identified during the hazardous materials research.

4. Tribal Records Check

Check the box if tribes were contacted regarding their hazardous materials records. Provide the date and findings (including any applicable mitigation measures) of tribal hazardous materials records, including the names of the Tribes contacted in the "findings" field.

5. PISA

Check the box if a PISA was conducted for the project. Provide the ADOT approval date and the findings of the PISA (including any applicable mitigation measures) and attach the PISA approval page to the CE..

6. Phase I

Check the box if a Phase I hazardous materials study was conducted. Provide the date of concurrence and the findings of the Phase I study.

⁴⁹ <http://www.azdeq.gov/environ/air/asbestos/>

Checklist Completion Guidelines (CE)

[Federal Project No.]
 [ADOT Project No.]
 [Project Name]

If the load-bearing structures box was checked, use the following mitigation:

District Responsibilities

- The Engineer, in association with the contractor, will complete the National Emission Standard for Hazardous Air Pollutants documentation and submit it to the Arizona Department of Transportation Environmental Planning Group hazardous materials coordinator (602.920.3882 or 602.712.7767) for review 5 (five) working days prior to being submitted to the regulatory agency [-ies].
- The contractor cannot start work associated with [the structure that will be demolished or renovated or whatever is being done to trigger this notification] until 10 (ten) working days have passed since the submittal of the notification to the regulatory agency [-ies].

Contractor Responsibilities

- The contractor shall complete a National Emission Standards for Hazardous Air Pollutants notification for work associated with [the structure that will be demolished or renovated or whatever is being done to trigger this notification] and submit it to the Engineer for review.
- After Engineer approval, the National Emission Standards for Hazardous Air Pollutants notification shall be submitted to the Arizona Department of Transportation Environmental Planning Group hazardous materials coordinator (602.920.3882 or 602.712.7767) for a 5 (five) working-day review and approval. Upon approval by the Arizona Department of Transportation Environmental Planning Group hazardous materials coordinator, the contractor shall file the notification with the Arizona Department of Environmental Quality (and if in Pima County include the following: the Pima County Department of Environmental Quality; if in Pinal County include the following: the Pinal County Air Quality Control District; if in Maricopa County include the following: the Maricopa County Air Quality Department) at least 10 (ten) working days prior to demolition/renovation associated with [the structure that will be demolished or renovated or whatever is being done to trigger this notification].
- The contractor cannot start work associated with [the structure that will be demolished or renovated or whatever is being done to trigger this notification] until 10 (ten) working days have passed since the submittal of the notification to the regulatory agency [-ies].

If the box regarding paint was checked, use the following mitigation:

Contractor Responsibilities

- An approved contractor shall develop and implement a Lead-Based Paint Removal and Abatement Plan for the removal of the lead-based paint, Toxicity Characteristic Leaching Procedure testing of removed material, and proper disposal of the waste stream derived from the removal of the (state where the lead-based paint is found, such as: yellow pavement striping, white pavement striping, pavement striping, paint on bridge rail, etc) within the project limits. A list of approved lead-based paint abatement contractors can be obtained by contacting the Arizona Department of Transportation Hazardous Material Coordinator (602-920-3882 or 602-712-7767). The Contractor shall follow all applicable local, state and federal codes and regulations, including Arizona Department of Transportation Standard Specifications and special provisions, related to the treatment and handling of lead-based paint.
- The contractor shall submit a Lead-Based Paint Removal and Abatement Plan for the removal of (state where the lead-based paint is found, such as: yellow pavement striping, white pavement striping, pavement striping, paint on bridge rail, etc) within the project limits to the Arizona Department of Transportation Environmental Planning Group Hazardous Materials Coordinator (602-920-3882 or 602-712-7767) for review and approval at least 10 working days prior to (state the activity that will disturb the paint, such as: milling activities, bridge work, guardrail work, etc).

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Hazardous Materials Evaluation Analysis Sheet (continued)

7. Findings

Summarize the results of the hazardous materials investigations which occurred as part of the project.

8. Mitigation Measures (on pages 36, 37 and 38)

Delete all headings in this section once the applicable mitigation has been selected. List additional mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). All mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*. If the project is not a Railroad Project delete the mitigations for railroad projects.

For Railroad projects, list any additional mitigation in bullet form; all mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

Please note: For Local Public Agency projects that will be self-administered, please contact the ADOT EPG Planner for guidance regarding mitigation measures to be listed in the CE Checklist and environmental clearance.

Checklist Completion Guidelines (CE)

[Federal Project No.]
[ADOT Project No.]
[Project Name]

Contractor and District Responsibilities

- No (state the activity that will disturb the paint, such as: milling activities, bridge work, guardrail work, etc.) shall occur until the Lead-Based Paint Removal and Abatement Plan is approved and implemented.

For railroad projects, use the following mitigation:

Railroad Responsibilities

- If suspected hazardous materials are encountered during construction, work will cease at that location and the Engineer will arrange for assessment, treatment or disposal of those materials.

Contractor Responsibilities

- If suspected hazardous materials are encountered outside of Railroad Right-of-Way during construction, work will cease at that location and the Engineer will be notified. The Engineer will contact the Arizona Department of Transportation Environmental Planning Group Hazardous Materials Coordinator (602.920.3882 or 602.712.7767) immediately, and make arrangements for assessment, treatment or disposal of those materials.

Checklist Completion Guidelines (CE)

Noise Analysis Sheet

Refer to FHWA's Noise Abatement Criteria⁵⁰ and the ADOT NAP⁵¹. Review project data to determine if the proposed project increases capacity or if the project results in substantial changes to the horizontal or vertical alignment of the roadway. Review the project area to determine if noise receivers are located within approximately 1,000 feet of the project area.

1. Quantitative Analysis

Check the applicable box if the proposed project increases capacity or substantially alters the alignment of an existing roadway (this includes adding new roadway alignment). Check the applicable box if noise receivers are located within 1000 feet of the project area. If both boxes discussed in this *Item 1* are checked, check the "Quantitative analysis required" box, the "Results of quantitative analysis" box, and the "Noise analysis completed on" box. Fill in the completion date of the technical noise study, plus summarize the findings and mitigation.

2. Mitigation Measures

Include all applicable mitigation measures specific to noise. List mitigation in bullet form, separated by responsibility (e.g., Design Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

[Federal Project No.]
[ADOT Project No.]
[Project Name]

Noise Analysis Sheet

1

☐ Quantitative analysis required
☐ Project adds capacity or alters alignment
and
☐ Receivers/customers are present

☐ Results of quantitative analysis
☐ Noise report completed on
Findings and mitigation

2

Mitigation Measures

<http://azdot.gov/business/environmental-services-and-planning>38August 2013

⁵⁰ <http://www.fhwa.dot.gov/environment/polguid.pdf>

⁵¹ <http://www.azdot.gov/business/environmental-services-and-planning/environmental-guidance-documents/technical-guidance>

Checklist Completion Guidelines (CE)

Arizona Pollutant Discharge Elimination System/National Pollutant Discharge Elimination System Permit Analysis Sheet

Coordinate with the project manager or project engineer to determine if the project will result in 1 or more acres of ground disturbance. If the project requires less than 1 acre of ground disturbance, the contractor is required to fulfill stormwater quality and erosion/sediment control BMPs in a manner that minimizes pollutants in the discharges, including stabilizing the site after completion of construction.

1. Permit

If the project will result in 1 or more acres of ground disturbance determine if a National (tribal land) or Arizona Pollutant Discharge Elimination System Permit is required (non-tribal land). Check the applicable boxes and fill in the name of the permit.

Review the ADEQ list of Impaired waters, located on the ADEQ website⁵². If the project is located within 0.25 mile of impaired water, check the applicable box; list the name of the water and the parameters of concern. Projects within 0.25 mile of an impaired water or outstanding Arizona water require either an AZPDES permit with the SWPPP approved by ADEQ prior to start of construction (non-tribal lands) or a NPDES permit (tribal land) with coordination with EPA to identify applicable best management practices. SWPPPs for NPDES permits within 0.25 mile of an impaired water are not reviewed by EPA. Determine if the project is located within a designated MS4⁵³; check the box and include the name of the MS4 as applicable.

2. Railroad Project

If the project is being completed by a railroad, check the box and insert the railroad name.

3. Mitigation Measures

List mitigation in bullet form, separated by responsibility (i.e., District Responsibilities and Contractor Responsibilities). Refer to Commonly Used Mitigation Measures. The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*. Delete all mitigation that is not applicable.

4. Mitigation: Permit

The mitigation in *Item 3* should be included with any non-Railroad Project requiring an AZPDES/NPDES permit.

5. Mitigation: Railroad

The mitigation in *Item 5* should only be included with Railroad Projects. Delete all other mitigation in this section, and insert the name of the railroad.

⁵² <http://www.azdeq.gov/environ/water/assessment/assess.html>

⁵³ <http://www.azdeq.gov/environ/water/permits/stormwater.html#ms4s>

[Federal Project No.]
[ADOT Project No.]
[Project Name]

Arizona Pollutant Discharge Elimination System/ National Pollutant Discharge Elimination System Analysis Sheet

- 1 ☐ The project involves the ground-disturbance of less than 1 acre.
- 2 ☐ The project involves the ground-disturbance of 1 or more acres and a general permit will be required.
- 3 ☐ The project is located within 0.25 mile of water.
- 4 ☐ The project is located in a designated MS4.
- 5 ☐ The project is federally funded; therefore, in accordance with 23 CFR 650(b), shall determine if design features to reduce erosion and minimize sedimentation during and after construction are required. (Railroad projects only)

If the project requires less than 1 acre of ground disturbance, the contractor is required to fulfill stormwater quality and erosion/sediment control BMPs in a manner that minimizes pollutants in the discharges, including stabilizing the site after completion of construction.

Mitigation Measures

Design Responsibilities

- The Arizona Department of Transportation Roadside Development Section will determine who will prepare the Stormwater Pollution Prevention Plan.

Railroad Responsibilities

- Because the project is federally funded, the, in accordance with 23 CFR § 650, Subpart B, shall determine whether design features to reduce erosion and minimize sedimentation during and after construction are required.

Outstanding Arizona or Impaired Water

The project is located within 1/4 mile of a designated water. Therefore, the contractor will submit the Stormwater Pollution Prevention Plan to the Arizona Department of Environmental Quality for approval prior to construction.

MS4

This project is located within a designated municipal separate storm sewer system. Therefore the contractor will submit the Notice of Intent and the Notice of Termination to the

<http://adot.gov/business/environmental-services-and-planning>

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Checklist Completion Guidelines (CE)

Arizona Pollutant Discharge Elimination System/National Pollutant Discharge Elimination System Permit Analysis Sheet (continued)

6. Mitigation: Outstanding Arizona or Impaired Waters

If a AZPDES/NPDES Permit is required and the project is within 0.25 mile of a unique or impaired water include the name of the water and associated impairments and add the mitigation in *Item 6* twice: under both the District Responsibilities and the Contractor Responsibilities.

7. Mitigation: MS4

If an AZPDES/NPDES Permit is required and the project is within a designated MS4, then include the name of the MS4 and add mitigation in *Item 7* twice: under both the District Responsibilities and the Contractor's Responsibilities.

Checklist Completion Guidelines (CE)

Air Quality Analysis Sheet

Refer to the non-attainment/maintenance area maps on the ADOT EPG website⁵⁴ to determine air quality status. If the project is in an area that complies with all National Ambient Air Quality Standards, delete this page from the document.

1. Nonattainment/Maintenance Area

Check the box if the project is located in a non-attainment or maintenance area other than the Tucson Region Carbon Monoxide Limited Maintenance Area. Provide the name of the non-attainment or maintenance area and the pollutant(s) of concern in the project area. Refer to the ADOT EPG website to obtain a list of project types exempt from conformity requirements, determine if the project is exempt from conformity, and check the applicable box.

If the project is not exempt from conformity, but the nature of the work the project requires will not interfere with transportation control measure implementation (e.g., bridge replacement; additional turn-lanes), check the applicable box.

If the project is not exempt from conformity, and the nature of the work the project requires may interfere with TCM implementation, a microscale analysis is required to document the air quality impacts of the project. The level of effort will vary from a simplified description to a detailed modeling analysis, depending on the project scope and pollutant concentration levels. Contact the ADOT EPG air/noise team for guidance. Provide the date and findings of the microscale analysis and any mitigation measures required for the project.

2. Tucson Region Carbon Monoxide Limited Maintenance Area Plan

Check the box if the project is located in the Tucson Region Carbon Monoxide Limited Maintenance Area Plan. Determine if the project is exempt from conformity, and check the applicable box. If the project is not exempt from conformity, a microscale analysis is required to document the air quality impacts of the project. The level of effort will vary from a simplified description to a detailed modeling analysis, depending on the project scope and pollutant concentration levels. Contact the ADOT EPG air/noise team for guidance. Provide the date and findings of the microscale analysis and any mitigation measures required for the project.

3. Mobile Source Air Toxics – for Federally-funded projects only

If the project is not federally funded, delete this section from the document. Insert the project purpose and major elements of the project scope in the appropriate locations. If the project increases traffic capacity contact the ADOT EPG air/noise team to determine if any additional MSAT language is required.

⁵⁴ <http://www.azdot.gov/business/environmental-services-and-planning/environmental-guidance-documents/technical-guidance>

[Federal Project No.]
[ADOT Project No.]
[Project Name]

Air Quality Analysis Sheet

1

☐ The project is located in a non-attainment or maintenance area.
Name of area(s):
Pollutant(s):
☐ Exempt from conformity.
The project will not interfere with transportation control measure implementation requirements as directed by state and metropolitan planning organizations.
☐ While the project is not on the conformity list, the nature of the work this project requires will not interfere with transportation control measure implementation.
☐ Not exempt from conformity.
☐ Microscale analysis completed on:

2

☐ The project is located in the Tucson Region Carbon Monoxide Limited Maintenance Area Plan.
☐ The project will have no negative effect on air quality and, pursuant to 40 CFR 93.116, this project is in conformity.
☐ Not exempt from conformity.
☐ Microscale analysis completed on:

3

The purpose of this project is to _____ by constructing _____. This project will not result in any meaningful changes in traffic volumes, vehicle mix, location of the existing facility, or any other factor that would cause an increase in emissions impacts relative to the no-build alternative. As such, FHWA has determined that this project will generate minimal air quality impacts for Clean Air Act criteria pollutants and has not been linked with any special MSAT concerns. Consequently, this effort is exempt from analysis for MSATs.

Moreover, EPA regulations for vehicle engines and fuels will cause overall MSATs to decline significantly over the next 40 years. Even after accounting for a 102 percent increase in VMT, FHWA predicts MSATs will decline by 83 percent in total annual emissions, from 2010 to 2050, based on regulations now in effect. This will both reduce the background level of MSATs as well as the possibility of even minor MSAT emissions from this project.

4

Mitigation Measures

<http://azdot.gov/business/environmental-services-and-planning>

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August 2013

Checklist Completion Guidelines (CE)

Air Quality Analysis Sheet (continued)

4. Mitigation Measures

Include all applicable mitigation measures specific to air quality, including mitigation necessary for avoidance. List mitigation in bullet form, separated by responsibility (e.g., District Responsibilities and/or Contractor Responsibilities). The mitigation should also be placed in the environmental clearance and on the *Mitigation Measures Sheet*.

Checklist Completion Guidelines (CE)

| Mitigation Measures | |
|---------------------|--|
| 1 | <u>LPA or ADOT Design Responsibilities</u> • • |
| | <u>Roadside Development Section Responsibilities</u> • • |
| | <u>LPA or ADOT District Responsibilities</u> • • |
| | <u>Contractor Responsibilities</u> • • |
| | <u>Railroad Responsibilities</u> • • |
| 2 | |

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Mitigation Measures

This page is always included in the environmental document. Mitigation is provided on each of the *Analysis Sheets* and collectively on this page and in the environmental clearance. Development of mitigation measures is to be accomplished in coordination with the appropriate ADOT District(s), the Project Manager, and ADOT EPG, prior to submittal of the draft environmental document. The ADOT EPG Planner will submit the mitigation measures to the appropriate ADOT District and ADOT Project Manager for concurrence, prior to final review of the environmental document. Use the word “attached” for any enclosures that will be included in the special provisions for the project (e.g., the attached NWP No. 14). Use the word “will” when referring to ADOT responsibilities and the word “shall” when the contractor is to perform a function. List the mitigation measures in bullet format.

Do not use acronyms or abbreviations as mitigation; ensure that mitigation measures are specific, enforceable, and provide clear direction to construction personnel as to the steps to be taken to implement the measures. These measures must be written in a format that ADOT Contract and Specifications Section, design, and construction personnel can implement. Use bullet format.

Separate the mitigation measures as follows:

Design Responsibilities:

-

(District name) Responsibilities:

-

Contractor Responsibilities:

-

Other applicable categories: (use appropriate heading):

1. Standard Mitigation

For all non-Railroad Projects the mitigation measures presented in this item shall be included here, in the environmental clearance and the project specifications. Add project-specific mitigation under the applicable category, as identified in the *Mitigation Measures Section* on each *Analysis Sheet*.

2. Railroad Mitigation

If the documentation is for a Railroad Project, delete all mitigation not under the “Railroad Responsibilities” heading. The mitigation measures present in this item shall be included for all Railroad Projects here, in the environmental clearance, on the project specifications. Insert additional mitigation as required.

Checklist Completion Guidelines (CE)

FHWA Signature Page

This page must be included with any non-programmatic CE. Two copies of the page should be included with the Final CE submittal.

1. Project Name

Enter the official name of the project.

2. Federal Project Number and ADOT Project Number

Insert the Federal Project Number and the ADOT Project Number. Confirm project information with ADOT EPG Planner who is assigned to the project.

ARIZONA DEPARTMENT OF TRANSPORTATION
Intermodal Transportation Division
Environmental Planning Group
1611 West Jackson Street
Phoenix, Arizona 85007

Categorical Exclusion

For

1 | [Project Name]
2 | [Federal Project No.]
 | [ADOT Project No.]

Approved by: _____ Date: _____
PAUL O'BRIEN, PE
Manager
Environmental Planning Group

Approved by: _____ Date: _____
KARLA S. PETTY
Division Administrator
Federal Highway Administration

This categorical exclusion has been prepared in accordance with provisions and requirements of Chapter 1, Title 23 USC and 23 CFR 771.117(d) * relating to the implementation of the National Environmental Policy Act of 1969.

*Add "and 774" if Section 4(f) is involved in project

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Checklist Completion Guidelines (CE)

ADOT to FHWA Transmittal Letter

1. Date

Enter the date of the submittal and spell out the month (e.g., November 20, 2006).

2. Project Information

Enter the Federal Project number, ADOT Project number, and project name. Confirm project information with ADOT EPG Planner who is assigned to the project.

3. Project Components

In the first field, enter the main component of the project (e.g., the resurfacing of State Route 40B).

4. Reason for FHWA Review

Enter the reason FHWA is to review the document (e.g., temporary occupancy of a Section 4(f) property).

5. Copy

Enter the ADOT EPG Planner's name.

1

Ms. Karla S. Petty
Division Administrator
Federal Highway Administration
4000 North Central Ave., #1500
Phoenix, AZ 85012-1506

2 RE: [Federal Project No.]
[ADOT Project No.]
[Project Name]

Dear Ms. Petty:

3 In accordance with Federal Highway Administration Arizona Division and Arizona Department of
Transportation Environmental Planning Group 2012 Operating Agreement, the enclosed Categorical Exclusion
for the referenced project is submitted for your approval. This project features include . The project
requires

4 Based upon environmental studies and early coordination, it has been determined that: 1) the proposed
project will not create any significant impacts to the environment; and 2) the action is classified as a
Categorical Exclusion, which is the appropriate environmental document for the proposed project.

Your approval of the Categorical Exclusion will constitute concurrence in this determination.

Sincerely,

Paul O'Brien, PE
Manager

Enclosures

5 c: ADOT Environmental Planning Group